

**Department of Education**  
**HIGHER EDUCATION**  
**Fiscal Year 2017 Budget Request**

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## HIGHER EDUCATION

For carrying out, to the extent not otherwise provided, titles II, III, IV, V, VI, VII, and VIII of the HEA, the Mutual Educational and Cultural Exchange Act of 1961, and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, [\$1,924,839,000] \$2,189,200,000: *Provided*, That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:<sup>1</sup> *Provided further*, That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:<sup>2</sup> *Provided further*, That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV of the HEA may be used for evaluation:<sup>3</sup> *Provided further*, That up to 2.5 percent of the funds made available under this Act for part B of title VII of the HEA may be used for technical assistance and the evaluation of activities carried out under such section:<sup>4</sup> *Provided further*, That notwithstanding chapter 1 of subpart 2 of part A of title IV of the HEA, the Secretary may reserve up to \$20,000,000 of the funds made available for section 402A(g) of the HEA to support the demonstration and rigorous evaluation of college access and completion strategies through cooperative agreements with entities that received fiscal year 2016 awards under section 402A:<sup>5</sup> *Provided further*, That \$30,000,000 shall be used for competitive awards to institutions described in sections 316, 317, 318, 319, 320, 322, and 502 of the HEA to support innovative and evidence-based student-centered strategies and interventions designed to improve the performance of those institutions in graduating

low-income students:<sup>6</sup> *Provided further*, That \$125,000,000 shall be used to make competitive grants to public and private nonprofit entities to support the creation and expansion of high-quality teacher and principal preparation programs, and other activities authorized under title II of the HEA:<sup>7</sup> *Provided further*, That the Secretary may reserve no more than five percent of the funds described in the preceding proviso for national activities.<sup>8</sup> (*Department of Education Appropriations Act, 2016.*)

NOTE

Each language provision that is followed by a footnote reference is explained in the Analysis of Language Provisions and Changes document, which follows the appropriations language.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>1</sup> <i>Provided</i> , That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:	This language permits International Education programs authorized under title VI of the Higher Education Act (HEA) and the Mutual Educational and Cultural Exchange Act of 1961 (MECEA) to use funds for visits and study in foreign countries by individuals (in addition to teachers and prospective teachers) who plan to apply their language skills and knowledge in world areas that are vital to United States national security in the fields of government, the professions, or international development.
<sup>2</sup> <i>Provided further</i> , That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:	This language authorizes the use of funds for program evaluation, national outreach, and information dissemination activities at a level that is up to 1 percent of the amount appropriated for International Education programs authorized by title VI of the HEA and section 102(b)(6) of the MECEA.
<sup>3</sup> <i>Provided further</i> , That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV of the HEA may be used for evaluation:	This language permits the Department to use up to 1.5 percent of the funds appropriated for Gaining Early Awareness and Readiness for Undergraduate Programs for evaluation.
<sup>4</sup> <u><i>Provided further</i>, That up to 2.5 percent of the funds made available under this Act for part B of title VII of the HEA may be used for technical assistance and the evaluation of activities carried out under such section:</u>	This language permits the Department to use 2.5 percent of the funds appropriated for the Fund for the Improvement of Postsecondary Education for technical assistance and evaluation.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>5</sup> <u>Provided further, That notwithstanding chapter 1 of subpart 2 of part A of title IV of the HEA, the Secretary may reserve up to \$20,000,000 of the funds made available for section 402A(g) of the HEA to support the demonstration and rigorous evaluation of college access and completion strategies through cooperative agreements with entities that received fiscal year 2016 awards under section 402A:</u>	This language authorizes the Department to use up to \$20 million of the funds appropriated for the Federal TRIO Programs to engage in cooperative agreements with TRIO grantees to support the demonstration and evaluation of college access and completion strategies without regard to TRIO statutory requirements.
<sup>6</sup> <u>Provided further, That \$30,000,000 shall be used for competitive awards to institutions described in sections 316, 317, 318, 319, 320, 322, and 502 of the HEA to support innovative and evidence-based student-centered strategies and interventions designed to improve the performance of those institutions in graduating low-income students.</u>	This language authorizes and provides funds for a new HBCU and Minority-Serving Institutions Innovation for Completion Fund program which will support evidence-based student-centered strategies and interventions designed to improve the performance of those institutions in enrolling and graduating low-income students at minority-serving institutions.
<sup>7</sup> <u>Provided further, That \$125,000,000 shall be used to make competitive grants to public and private nonprofit entities to support the creation and expansion of high-quality teacher and principal preparation programs, and other activities authorized under title II of the HEA.</u>	This language authorizes and provides funds for a new Teacher and Principal Pathways program to support competitive awards to institutions of higher education and other non-profit entities to create or expand high quality pathways to prepare participants to be effective teachers or principals, and other activities authorized under title II of the HEA.
<sup>8</sup> <u>Provided further, That the Secretary may reserve no more than five percent of the funds described in the preceding proviso for national activities.</u>	This language authorizes the Department to use up to 5 percent of the funds appropriated for the Teacher and Principal Pathways program to support national activities.

## HIGHER EDUCATION

### Appropriation, Adjustments and Transfers (dollars in thousands)

Appropriation/Adjustments/Transfers	2015	2016	2017
<b>Discretionary:</b>			
Appropriation.....	\$1,924,839	\$1,982,185	\$2,189,200
<b>Mandatory:</b>			
Appropriation .....	255,000	255,000	2,060,121
Sequester (P.L. 112-25) .....	<u>-18,615</u>	<u>-17,340</u>	<u>0</u>
Total, adjusted mandatory appropriation .....	<u>236,385</u>	<u>237,660</u>	<u>2,060,121</u>
Total, adjusted discretionary and mandatory appropriation .....	2,161,224	2,219,845	4,249,321

## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

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2016 Discretionary.....	\$1,982,185
2016 Mandatory.....	237,660
2017 Discretionary.....	2,189,200
2017 Mandatory.....	<u>2,060,121</u>
Net change .....	+2,029,476

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#### **Discretionary:**

##### **Increases:**

##### **Program:**

	<u>2016 base</u>	<u>Change from base</u>
Increase funding to establish a new initiative, HBCU and MSI Innovation Completion Fund for competitive awards to institutions described in sections 316, 317, 318, 319, 320, 322, and 502 of the HEA to undertake support innovative and evidence-based student-centered strategies designed to improve the performance of those institutions in enrolling and graduating low-income students.	0	+\$30,000
Increase funding for the Fund for the Improvement of Postsecondary Education to support the First in the World Program, which provides funding to support the implementation and evaluation of innovative and evidence-based strategies designed to improve college completion, particularly for high need students.	0	+100,000
Increase funding to establish a new Teacher and Principal Pathways program to support competitive awards to institutions of higher education and other non-profit entities to create or expand high quality pathways to prepare participants to be effective teachers or principals.	0	<u>+125,000</u>
Subtotal, discretionary increases		+255,000

## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

<b><u>Discretionary:</u></b>	<b><u>2016 base</u></b>	<b><u>Change from base</u></b>
<b>Decreases:</b>		
<b><u>Program:</u></b>		
Eliminate funding for the Teacher Quality Partnership program because the Administration is proposing a new Teacher and Principal Pathways program in fiscal year 2017 which will support the same goals as the TQP program.	\$43,092	<u>-\$43,092</u>
Decrease funding for International Education and Foreign Language Studies: Overseas Programs that would otherwise be used for new awards to support ongoing activities in the International Education and Foreign Language Studies: Domestic Programs.	\$7,061	<u>-4,893</u>
Subtotal, discretionary decreases		-47,985
<b><u>Mandatory:</u></b>	<b><u>2016 base</u></b>	<b><u>Change from base</u></b>
<b>Increases:</b>		
<b><u>Program:</u></b>		
Increase funding for the mandatory Strengthening Tribally Controlled Colleges and Universities program to return funding to the authorized level.	27,960	+2,040
Increase funding for the mandatory Strengthening Alaska Native and Native Hawaiian-serving Institutions program to return funding to the authorized level.	13,980	+1,020
Increase funding for the mandatory Strengthening HBCUs program to return funding to the authorized level.	79,220	+5,780
Increase funding for the mandatory Strengthening Predominantly Black Institutions program to return funding to the authorized level.	13,980	+1,020
Increase funding for the mandatory Strengthening Asian American- and Native American Pacific Islander-serving Institutions program to return funding to the authorized level.	4,660	+340



## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

<b><u>Mandatory:</u></b>	<b><u>2016 base</u></b>	<b><u>Change from base</u></b>
<b><u>Increases:</u></b>		
<b><u>Program:</u></b>		
Increase funding for the mandatory Strengthening Native American-serving Nontribal Institutions program to return funding to the authorized level.	\$4,660	+\$340
Increase funding for the mandatory developing Hispanic-serving Institutions STEM and Articulation programs to return funding to the authorized level.	93,200	+6,800
Increase to initiate a mandatory America's College Promise program to provide funds to create partnerships with States to make 2 years of community college free for responsible students by helping them waive tuition in high-quality programs, while promoting key reforms to help more students complete at least 2 years of college.	0	+1,257,334
Increase to initiate a mandatory College Opportunity and Graduation Bonus program to reward colleges that successfully enroll and graduate a significant number of low- and moderate-income students on time and to encourage all institutions to improve their performance.	0	+547,787
Subtotal, mandatory increases		<u>+1,822,461</u>
Net change		+2,029,476

## HIGHER EDUCATION

### Authorizing Legislation (dollars in thousands)

Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
Aid for institutional development:				
Strengthening institutions ( <i>HEA-III-A-311</i> )	0	\$86,534	To be determined <sup>1</sup>	\$86,534
Strengthening tribally controlled colleges and universities ( <i>HEA-III-A-316</i> )	0	27,599	To be determined <sup>1</sup>	27,599
Strengthening tribally controlled colleges and Universities ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	\$30,000 <sup>2</sup>	27,960 <sup>2</sup>	\$30,000 <sup>2</sup>	30,000 <sup>2</sup>
Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-III-A-317</i> )	0	13,802	To be determined <sup>1</sup>	13,802
Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	15,000 <sup>2</sup>	13,890 <sup>2</sup>	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening historically Black colleges and universities ( <i>HEA-III-B-323</i> )	0	244,694	To be determined <sup>1</sup>	244,694
Strengthening historically Black colleges and universities ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	85,000 <sup>2</sup>	79,220 <sup>2</sup>	85,000 <sup>2</sup>	85,000 <sup>2</sup>
Strengthening historically Black graduate institutions ( <i>HEA-III-B-326</i> )	0	63,281	To be determined <sup>1</sup>	63,281
Strengthening predominantly Black institutions ( <i>HEA-III-A-318</i> )	75,000	9,942	To be determined <sup>1</sup>	9,942
Strengthening predominantly Black institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	15,000 <sup>2</sup>	13,890 <sup>2</sup>	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening Asian American and Native American Pacific Islander-serving institutions ( <i>HEA-III-A-320</i> )	0	3,348	To be determined <sup>1</sup>	3,348
Strengthening Asian American and Native American Pacific Islander-serving institutions ( <i>HEA-III-F-371</i> )( <i>mandatory</i> )	5,000 <sup>2</sup>	4,660 <sup>2</sup>	5,000 <sup>2</sup>	5,000 <sup>2</sup>
Strengthening Native American-serving Nontribal institutions ( <i>HEA-III-A-319</i> )	0	3,348	To be determined <sup>1</sup>	3,348

## HIGHER EDUCATION

Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
Aid for institutional development:				
Strengthening Native American-serving Nontribal institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	\$5,000 <sup>2</sup>	\$4,660 <sup>2</sup>	\$5,000 <sup>2</sup>	\$5,000 <sup>2</sup>
Minority science and engineering <i>improvement</i> ( <i>HEA-III-E-1</i> )	0	9,648	To be determined <sup>1</sup>	9,648
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions ( <i>HEA-V-A</i> )	0	107,795	To be determined <sup>1</sup>	107,795
Mandatory developing HSI STEM and articulation programs ( <i>HEA III-F-371(b)(2)(B)</i> ) ( <i>mandatory</i> )	100,000 <sup>2</sup>	93,200 <sup>2</sup>	100,000 <sup>2</sup>	100,000 <sup>2</sup>
Promoting postbaccalaureate opportunities for Hispanic Americans ( <i>HEA-V-B-512</i> ) ( <i>discretionary</i> )	0	9,671	To be determined <sup>1</sup>	9,671
HBCU and minority-serving institutions (MSIs) innovation for completion fund ( <i>proposed legislation</i> )	0	0	To be determined	30,000
Other aid for institutions:				
International education and foreign language studies:				
Domestic programs ( <i>HEA-VI-A and B</i> )	0	65,103	To be determined <sup>1</sup>	65,103
Overseas programs ( <i>MECEA-102(b)(6)</i> )	Indefinite	7,061	Indefinite	2,168
Fund for the improvement of postsecondary education ( <i>HEA-VII-B</i> )	0	0	To be determined <sup>1</sup>	100,000
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education ( <i>HEA-VII-D-2</i> )	0	11,800	To be determined <sup>1</sup>	11,800
Tribally controlled postsecondary career and technical institutions ( <i>Carl D. Perkins CTEA section 117</i> )	0 <sup>3</sup>	8,286	To be determined <sup>3</sup>	8,286
Assistance for students:				
Federal TRIO programs ( <i>HEA-IV-A-2-1</i> )	0	900,000	To be determined <sup>1</sup>	900,000
Gaining early awareness and readiness for undergraduate programs ( <i>HEA-IV-A-2-2</i> )	0	322,754 <sup>4</sup>	To be determined <sup>1</sup>	322,754 <sup>4</sup>

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Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
Graduate assistance in areas of national need (HEA-VII-A-2)	0	\$29,293	To be determined <sup>1</sup>	\$29,293
Child care access means parents in school (HEA-IV-A-7)	0	15,134	To be determined <sup>1</sup>	15,134
Teacher and Principal Pathways (proposed legislation)	0	0	To be determined <sup>1</sup>	125,000
Teacher quality partnerships (HEA II-A)	0	43,092	To be determined <sup>1</sup>	0
America's College Promise (proposed legislation) (mandatory)	0	0	To be determined <sup>1</sup>	1,257,334
College opportunity and graduation bonus (proposed legislation)(mandatory)	0	0	To be determined <sup>1</sup>	547,787
<u>Unfunded authorizations:</u>				
Interest subsidy grants (HEA-I-121)	0	0	0	0
Hawkins Centers of Excellence (HEA-II-B-2) (discretionary)	0	0	0	0
Endowment challenge grants (HEA-III-C-331)	0	0	0	0
Programs in STEM Fields (HEA-III-E-2)	0	0	0	0
Science and technology advanced foreign language Education (HEA-VI-D-637)	0	0	0	0
Byrd honors scholarships (HEA-IV-A-6)	0	0	0	0
Loan repayment for civil legal assistance attorneys (HEA-IV-B, section 428L)	0	0	0	0
International education and foreign language studies:				
Institute for international public policy (HEA-VI-C)	0	0	0	0
Javits fellowships (HEA-VII-A-1)	0	0	0	0
Thurgood Marshall legal educational opportunity program (HEA-VII-A-3)	0	0	0	0
Master's degree programs at historically Black Colleges and universities (HEA-VII-A-4-723)	0	0	0	0

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Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
<u>Unfunded authorizations:</u>				
Master's degree programs at predominantly Black institutions <i>(HEA-VII-A-4-724)</i>	0	0	0	0
Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities <i>(HEA-VII-D-1)</i>	0	0	0	0
Model demonstration program to support improved access to postsecondary instructional materials for students with print disabilities <i>(HEA-VII-D-3)</i>	0	0	0	0
National Technical Assistance Center <i>(HEA-VII-D-4(a))</i>	0	0	0	0
College access challenge grant program <i>(HEA-VII-E) (discretionary)</i>	0	0	0	0
College access challenge grants program <i>(HEA-VII-E) (mandatory)</i>	0	0	0	0
Project GRAD <i>(HEA-VIII-A)</i>	0	0	0	0
Mathematics and science scholars program <i>(HEA-VIII-B)</i>	0	0	0	0
Business workforce partnerships for job skill training in high growth occupations or industries <i>(HEA-VIII-C)</i>	0	0	0	0
Capacity for nursing students and faculty <i>(HEA-VIII-D)</i>	0	0	0	0
American history for freedom <i>(HEA-VIII-E)</i>	0	0	0	0
Patsy T. Mink fellowship program <i>(HEA-VIII-G)</i>	0	0	0	0
Improving college enrollment by secondary schools <i>(HEA-VIII-H)</i>	0	0	0	0

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Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
<u>Unfunded authorizations:</u>				
Early childhood education professional development and career task force <i>(HEA-VIII-I)</i>	0	0	0	0
Improving science, technology, engineering, and mathematics education with a focus on Alaska Native and Native Hawaiian students <i>(HEA-VIII-J)</i>	0	0	0	0
Pilot programs to increase college persistence and success <i>(HEA-VIII-K)</i>	0	0	0	0
Student safety and campus emergency management <i>(HEA-VIII-L-821)</i>	0	0	0	0
Education disaster and emergency relief loan program <i>(HEA-VIII-L-824)</i>	0	0	0	0
Low tuition <i>(HEA-VIII-M)</i>	0	0	0	0
College partnership grants <i>(HEA-VIII-O)</i>	0	0	0	0
Jobs to careers <i>(HEA-VIII-P)</i>	0	0	0	0
Rural development grants for rural-serving colleges and universities <i>(HEA-VIII-Q)</i>	0	0	0	0
Campus-based digital theft prevention <i>(HEA-VIII-R)</i>	0	0	0	0
University sustainability programs <i>(HEA-VIII-U-881)</i>	0	0	0	0
Cooperative education <i>(HEA-VIII-N)</i>	0	0	0	0
Modeling and simulation programs <i>(HEA-VIII-V)</i>	0	0	0	0
Path to success program <i>(HEA-VIII-W)</i>	0	0	0	0
School of veterinary medicine competitive grant program <i>(HEA-VIII-X)</i>	0	0	0	0
Early Federal Pell Grant commitment demonstration program <i>(HEA-VIII-Y)</i>	0	0	0	0
Master's degree programs at HBCUs and PBIs <i>(HEA VIII-AA-897) (mandatory)</i>	0	0	0	0

## HIGHER EDUCATION

Activity	2016 Authorized	2016 Estimate	2017 Authorized	2017 Request
<u>Unfunded authorizations:</u>				
Promoting postbaccalaureate opportunities for Hispanic Americans ( <i>HEA-VIII-AA-898</i> ) ( <i>mandatory</i> )	0	0	0	0
Grants to states for workplace and community transition training for incarcerated individuals ( <i>Higher Education Amendments of 1998-VIII-D</i> )	0	0	0	0
B.J. Stupak Olympic scholarships ( <i>Higher Education Amendments of 1992, Section 1543</i> )	0	0	0	0
Underground railroad program ( <i>Higher Education Amendments of 1998-VIII-H</i> )	0	0	0	0
Total definite authorization	\$237,660		\$255,000	
Total appropriation		\$2,219,895		\$4,249,321
Total discretionary appropriation		1,982,195		2,189,200
Portion of discretionary request subject to reauthorization				2,159,200
Portion of the discretionary request not authorized		0		30,000
Total mandatory appropriation		237,660		2,060,121
Portion of the mandatory request not authorized		0		1,805,121

<sup>1</sup> The GEPA extension expired September 30, 2015; the program was authorized in 2016 through appropriations language. Reauthorizing legislation is sought for fiscal year 2017.

<sup>2</sup> Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2019.

<sup>3</sup> The GEPA extension expired September 30, 2013; the program was authorized in 2016 through appropriations language. Reauthorizing legislation is sought for fiscal year 2017.

<sup>4</sup> Of the amount appropriated, not less than 33 percent shall be used for State Grants and not less than 33 percent shall be used for Partnership Grants.

## HIGHER EDUCATION

### Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2008 Discretionary	\$1,837,737	\$2,184,533	\$2,040,302	\$2,036,851
2008 Mandatory		378,000	378,000	378,000
2009 Discretionary	1,733,684	2,080,881 <sup>1</sup>	1,856,214 <sup>1</sup>	2,100,150
2009 Mandatory	401,000	401,000	401,000	401,000
Recovery Act Supplemental (P.L. 111-5)	0	100,000	50,000	100,000
2010 Discretionary	2,050,191	2,294,882	2,106,749 <sup>2</sup>	2,255,665
2010 Mandatory	80,000	80,000	80,000	485,000
2011 Discretionary	2,131,493	2,177,915 <sup>3</sup>	2,243,895 <sup>2</sup>	1,903,944 <sup>4</sup>
2011 Mandatory	80,000	485,000	485,000	485,000
2012 Discretionary	2,277,069	1,628,052 <sup>5</sup>	1,903,946 <sup>5</sup>	1,869,656
2012 Mandatory	428,000	428,000	428,000	428,000
2013 Discretionary	1,950,590	1,869,656 <sup>6</sup>	1,911,348 <sup>6</sup>	1,881,098
2013 Mandatory	428,000	428,000	428,000	406,173
2014 Discretionary	2,182,799	N/A <sup>7</sup>	1,906,394 <sup>2</sup>	1,925,408
2014 Mandatory	428,000		428,000	397,184
2015 Discretionary	2,025,457	N/A <sup>7</sup>	1,968,799 <sup>8</sup>	1,924,839
2015 Mandatory	4,902,000		255,000	236,385
2016 Discretionary	2,072,045	1,909,042 <sup>9</sup>	2,038,510 <sup>9</sup>	1,982,185
2016 Mandatory	2,266,842	255,000	255,000	237,660
2017 Discretionary	2,189,200			
2017 Mandatory	2,060,121			

<sup>1</sup> The levels for the House and Senate allowances reflect action on the regular annual 2009 appropriations bill, which proceeded in the 110<sup>th</sup> Congress only through the House Subcommittee and the Senate Committee.

<sup>2</sup> The level for the Senate allowance reflects Committee action only.

<sup>3</sup> The level for the House allowance reflects the House-passed full-year continuing resolution.

<sup>4</sup> The level for appropriation reflects the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P.L. 112-10).

<sup>5</sup> The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee Action only.

<sup>6</sup> The levels for the House and Senate allowance reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112<sup>th</sup> Congress only through the House Subcommittee and the Senate Committee.

<sup>7</sup> The House allowance is shown as N/A because there was no Subcommittee action.

<sup>8</sup> The level for the Senate allowance reflects Senate Subcommittee action only.

<sup>9</sup> The levels for House and Senate allowances reflect action on the regular annual 2016 appropriations bills, which proceeded in the 14<sup>th</sup> Congress only through the House Committee and Senate Committee.



## HIGHER EDUCATION

### Significant Items in FY 2016 Appropriations Reports

#### **Federal TRIO Programs**

Managers' Statement: The agreement provides funding for a new competition for the Talent Search and Educational Opportunity Centers programs as well as an increase in funding for existing grantees. The Department is strongly encouraged to publish the notice inviting applications as soon as possible and issue award notices for these programs no later than July 31, 2016.

Response: The Department plans to use a portion of the funding to provide an increase in funding for existing grantees. The Department published the Talent Search notice inviting applications on December 22, 2015 and will publish the Educational Opportunity Centers notice in early February. We plan to make awards prior to July 31, 2016.

Managers' Statement: The agreement strongly urges the Secretary to give fair consideration to prior experience when making awards under the Talent Search and Educational Opportunity Center competitions.

Response: The Department will give fair consideration to prior experience. Talent Search and Educational Opportunity Centers grantees can earn up to 15 prior experience points in accordance with the HEA statutory requirements.

DEPARTMENT OF EDUCATION FISCAL YEAR 2017 PRESIDENT'S BUDGET  
(in thousands of dollars)

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Account, Program and Activity	Category Code	2015 Appropriation	2016 Appropriation	2017 President's Budget	2017 President's Budget Compared to 2016 Appropriation Amount	Percent
<b>Higher Education</b>						
1. Aid for institutional development:						
(a) Strengthening institutions (HEA III-A, section 311)	D	80,462	86,534	86,534	0	0.00%
(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	25,662	27,599	27,599	0	0.00%
(c) Mandatory strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	27,810	27,960	30,000	2,040	7.30%
Subtotal		53,472	55,559	57,599	2,040	3.67%
(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	12,833	13,802	13,802	0	0.00%
(e) Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	13,905	13,980	15,000	1,020	7.30%
Subtotal		26,738	27,782	28,802	1,020	3.67%
(f) Strengthening HBCUs (HEA III-B, section 323)	D	227,524	244,694	244,694	0	0.00%
(g) Mandatory strengthening HBCUs (HEA III-F, section 371)	M	78,795	79,220	85,000	5,780	7.30%
Subtotal		306,319	323,914	329,694	5,780	1.78%
(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	58,840	63,281	63,281	0	0.00%
(i) Strengthening predominantly Black institutions (HEA III-A, section 318)	D	9,244	9,942	9,942	0	0.00%
(j) Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	13,905	13,980	15,000	1,020	7.30%
Subtotal		23,149	23,922	24,942	1,020	4.26%
(k) Strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	3,113	3,348	3,348	0	0.00%
(l) Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	4,635	4,660	5,000	340	7.30%
Subtotal		7,748	8,008	8,348	340	4.25%
(m) Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	3,113	3,348	3,348	0	0.00%
(n) Mandatory strengthening Native American-serving nontribal institutions (HEA III-F, section 371)	M	4,635	4,660	5,000	340	7.30%
Subtotal		7,748	8,008	8,348	340	4.25%
(o) Minority science and engineering improvement (HEA III-E-1)	D	8,971	9,648	9,648	0	0.00%
Subtotal, Aid for institutional development		573,447	606,656	617,196	10,540	1.74%
Discretionary	D	429,762	462,196	462,196	0	0.00%
Mandatory	M	143,685	144,460	155,000	10,540	7.30%

NOTES: D = discretionary program; M = mandatory program; FY = fiscal year

For most mandatory programs, the levels shown in the 2015 Appropriation column reflect the 7.3 percent sequester that went into effect October 1, 2014, and the levels shown in the 2016 Appropriation column reflect the 6.8 percent reduction that went into effect on October 1, 2015, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

Detail may not add to totals due to rounding.

DEPARTMENT OF EDUCATION FISCAL YEAR 2017 PRESIDENT'S BUDGET  
(in thousands of dollars)

Account, Program and Activity	Category Code	2015 Appropriation	2016 Appropriation	2017 President's Budget	2017 President's Budget Compared to 2016 Appropriation	
					Amount	Percent
<b>Higher Education (continued)</b>						
2. Aid for Hispanic-serving institutions:						
(a) Developing Hispanic-serving institutions (HEA V-A)	D	100,231	107,795	107,795	0	0.00%
(b) Mandatory developing HSI STEM and articulation programs (HEA III-F, section 371(b)(2)(B))	M	92,700	93,200	100,000	6,800	7.30%
(c) Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V, section 512)	D	8,992	9,671	9,671	0	0.00%
Subtotal		201,923	210,666	217,466	6,800	3.23%
Discretionary		109,223	117,466	117,466	0	0.00%
Mandatory		92,700	93,200	100,000	6,800	7.30%
3. HBCU and Minority-serving institutions (MSI) innovation for completion fund (proposed legislation)	D	---	---	30,000	30,000	---
4. Other aid for institutions:						
(a) International education and foreign language studies:						
(1) Domestic programs (HEA VI-A and B)	D	65,103	65,103	65,103	0	0.00%
(2) Overseas programs (MECEA section 102(b)(6))	D	7,061	7,061	2,168	(4,893)	-69.30%
Subtotal		72,164	72,164	67,271	(4,893)	-6.78%
(b) Fund for the Improvement of Postsecondary Education:						
(1) Fund for the improvement of postsecondary education (HEA VII-B)	D	7,775	0	0	0	---
(2) First in the World (HEA VII-B)	D	60,000	0	100,000	100,000	---
Subtotal		67,775	0	100,000	100,000	---
(c) Model transition programs for students with intellectual disabilities into higher education (HEA VII-D-2)	D	11,800	11,800	11,800	0	0.00%
(d) Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	7,705	8,286	8,286	0	0.00%
5. Assistance for students:						
(a) Federal TRIO programs (HEA IV-A-2, Chapter 1)	D	839,752	900,000	900,000	0	0.00%
(b) Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)	D	301,639	322,754	322,754	0	0.00%
(c) Graduate assistance in areas of national need (HEA VII-A-2)	D	29,293	29,293	29,293	0	0.00%
(d) Child care access means parents in school (HEA IV-A-7)	D	15,134	15,134	15,134	0	0.00%
6. Teacher and principal pathways (proposed legislation)	D	---	---	125,000	125,000	---
7. Teacher quality partnerships (HEA II-A)	D	40,592	43,092	0	(43,092)	-100.00%
8. America's college promise (proposed legislation)	M	---	---	1,257,334	1,257,334	---
9. College opportunity and graduation bonus (proposed legislation)	M	---	---	547,787	547,787	---
Total		2,161,224	2,219,845	4,249,321	2,029,476	91.42%
Discretionary		1,924,839	1,982,185	2,189,200	207,015	10.44%
Mandatory		236,385	237,660	2,060,121	1,822,461	766.84%

NOTES: D = discretionary program; M = mandatory program; FY = fiscal year

For most mandatory programs, the levels shown in the 2015 Appropriation column reflect the 7.3 percent sequester that went into effect October 1, 2014, and the levels shown in the 2016 Appropriation column reflect the 6.8 percent reduction that went into effect on October 1, 2015, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

Detail may not add to totals due to rounding.

## HIGHER EDUCATION

### Summary of Request

The Administration's request for fiscal year 2017 includes a combination of discretionary and mandatory funding that would make available a total of \$4.2 billion for programs in the Higher Education account—\$2.2 billion in discretionary funding to support a comprehensive set of programs that will help achieve the President's goal of significantly increasing the percentage of Americans with postsecondary degrees or industry-recognized certificates; and \$2 billion in mandatory funding for two new initiatives designed to improve affordability, quality, and success in higher education. Lastly, although not part of the budget request for 2017, mandatory funding totaling \$255 million, is available for existing programs authorized by Titles III and Title V of the Higher Education Act of 1965, as amended (HEA).

To help close the gap in college enrollment and degree attainment between minority and low-income students and others, the request would provide a total of \$462.2 million in discretionary funding for Title III for the **Aid for Institutional Development** programs, the same as the 2016 appropriation. The request for Title III demonstrates the Administration's commitment to assisting institutions that enroll a large proportion of minority and disadvantaged students by providing funds to improve institutions' academic programs and administrative and fundraising capabilities. Within this amount, the Administration requests \$86.5 million for the **Strengthening Institutions Program**. The Administration is also requesting \$224.7 million for **Strengthening Historically Black Colleges and Universities** (HBCUs); \$63.3 million for **Strengthening Historically Black Graduate Institutions** (HBGIs); and \$9.9 million for **Strengthening Predominantly Black Institutions** (PBIs). African Americans have historically lacked access to quality education compared to their White cohorts. The Strengthening HBCUs, Strengthening HBGIs, and Strengthening PBIs grants programs increase the capacity of the HBCUs, HBGIs, and PBIs to provide greater access to academic programs at both undergraduate and graduate levels to African Americans.

Also included in the request for Title III programs is \$27.6 million for the **Tribally Controlled Colleges and Universities** program; \$13.8 million for the **Alaska Native and Native Hawaiian-serving Institutions** program; \$3.3 million for the **Native American-serving Nontribal Institutions** program; and \$3.3 million for the **Asian American and Native American Pacific Islander-serving Institutions** program to support institutions that serve Native American, Alaska Native and Native Hawaiian, and Asian American and Native American Pacific Islander students. Lastly, the Administration is requesting \$9.6 million for the **Minority Science and Engineering Improvement Program** to help improve science and engineering programs at postsecondary institutions with predominantly minority enrollments.

The Administration requests a total of \$117.5 million in discretionary funding for Aid for Hispanic-serving Institutions to expand educational opportunities for, and improve the academic attainment of, Hispanic students. The request includes \$107.8 million in discretionary funding for **Developing Hispanic-serving Institutions** (HSIs) and \$9.7 million for the **Promoting Postbaccalaureate Opportunities for Hispanic Americans**, the same as the 2016 appropriation.

## HIGHER EDUCATION

### Summary of Request (continued)

Also included in the Administration's budget request for 2017 is a new proposal, the **HBCU and Minority-Serving Institutions (MSIs) Innovation for Completion Fund**, designed to support innovative and evidence-based, student-centered strategies and interventions to increase the number of low-income students and students of color completing degree programs at HBCUs and MSIs, including Hispanic-Serving Institutions, Predominantly Black Institutions, Tribally Controlled Colleges and Universities, Alaska Native and Native Hawaiian-Serving Institutions, Asian American and Native American Pacific Islander-Serving Institutions, and Native American-Serving Nontribal Institutions.

For the **International Education and Foreign Language Studies (IEFLS)** programs, the Administration requests a total of \$67.3 million, a decrease of \$4.9 million or 6.8 percent, from the 2016 appropriation. The IEFLS programs are designed to help meet the Nation's security and economic needs through the development of expertise in foreign languages and area and international studies. More specifically, the request for IEFLS includes \$65.1 million for the **Domestic Programs**, the same as the 2016 appropriation; and \$2.2 million, a decrease of \$4.9 million, for the **Overseas Programs**.

The Administration requests \$900 million for the **Federal TRIO Programs**, the same as the 2016 appropriation. The request includes appropriations language to allow the Department to use up to \$20 million to support a new TRIO Demonstration initiative designed to enable the Department to enter into cooperative agreements with TRIO grantees, and consortia thereof, to support the implementation and rigorous evaluation of college success strategies. The TRIO programs are the Administration's oldest college preparation and student support programs and they have a long history of providing support to low-income students and students whose parents never completed college. In addition, the Administration's request for **Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)** would maintain funding at the fiscal year 2016 appropriation level of \$322.8 million. The TRIO and GEAR UP programs are designed to increase postsecondary access by providing low-income students with the necessary tools to enroll in and successfully complete college.

The Administration also requests \$100 million for the **Fund for the Improvement of Postsecondary Education (FIPSE)** for fiscal year 2017 to support a new competition for awards under First in the World (FITW), an evidence-based program that provides funding to support the development, validation, scaling up and dissemination of innovative solutions and evidence for what works to effectively address persistent and widespread challenges to improving college affordability and completion of postsecondary programs for high need students. The increase would enable the Department to expand the FITW program to support projects under three evidence tiers: development, validation, and scale up. The Administration would set aside a portion of the 2017 funding, up to 30 percent, or \$30 million at the requested level, for awards to HBCUs and MSIs.

## HIGHER EDUCATION

### Summary of Request (continued)

To provide students with additional financial resources, the Department requests \$29.3 million for **Graduate Assistance in Areas of National Need (GAANN)** to provide merit-based scholarships and fellowships for graduate students.

The Administration also requests \$125 million for the **Teacher and Principal Pathways** program for fiscal year 2017 to support the creation and expansion of high quality pathways for participants to become effective teachers and principals. The Administration believes that this new broader authority will provide greater flexibility than current authority to support innovative and effective pathways to the classroom and school administration. This program will replace the current **Teacher Quality Partnership** program.

The President's fiscal year 2017 request proposes the following new mandatory initiatives and comprehensive reforms to improve affordability, quality and success in higher education:

- \$1.3 billion fiscal year 2017 budget authority for **America's College Promise**, an investment of \$60.8 billion in mandatory outlays over 10 years, a proposed grant program for States to make community college free for responsible students, enabling them to earn a certificate, an associate's degree or up to 2 years' worth of credits towards a bachelor's degree without paying any tuition and fees.
- \$547.8 million fiscal year 2017 budget authority for the **College Opportunity and Graduation Bonus** program, an investment of \$5.7 billion in mandatory outlays over the next decade, that will reward colleges that successfully enroll and graduate a significant number of low- and moderate-income students on time and encourage all institutions to improve their performance. Eligible institutions may receive a grant that will support innovation, interventions, and reforms to further increase college access and success based upon the number of Pell Grant recipients they graduate on time.

The Higher Education Act of 1965, as amended, authorizes and provides the following mandatory funds that are not included in the Department's fiscal year 2017 budget request:

- \$230 million for existing programs under Titles III and V of the Higher Education Act—\$85 million for Historically Black Colleges and Universities, \$30 million for Tribally Controlled Colleges and Universities, \$15 million for Alaska Native and Native Hawaiian-serving Institutions, and \$100 million for Developing Hispanic-serving Institutions.
- \$25 million for other programs that support minority-serving institutions—\$15 million for Predominantly Black Institutions, \$5 million for Asian American and Native American Pacific Islander-serving Institutions, and \$5 million for Native American-serving Nontribal Institutions.

## HIGHER EDUCATION

### Aid for institutional development

(Higher Education Act of 1965, Title III)

(dollars in thousands)

FY 2017 Authorization: To be determined (discretionary)<sup>1</sup>, \$155,000 (mandatory)

Budget Authority:

	<u>2016</u>	<u>2017</u>	<u>Change</u>
Strengthening Institutions (Part A discretionary)	\$86,534	\$86,534	0
Strengthening Tribally Controlled Colleges and Universities			
(Part A discretionary)	27,599	27,599	0
(Part F mandatory)	27,960	30,000	+\$2,040
Strengthening Alaska Native and Native Hawaiian-serving Institutions			
(Part A discretionary)	13,802	13,802	0
(Part F mandatory)	13,980	15,000	+1,020
Strengthening Historically Black Colleges and Universities			
(Part B discretionary)	244,694	244,694	0
(Part F mandatory)	79,220	85,000	+5,780
Strengthening Historically Black Graduate Institutions (Part B discretionary)	63,281	63,281	0
Strengthening Predominantly Black Institutions			
(Part A discretionary)	9,942	9,942	0
(Part F mandatory)	13,980	15,000	+1,020
Strengthening Asian American and Native American Pacific Islander-serving Institutions			
(Part A discretionary)	3,348	3,348	0
(Part F mandatory)	4,660	5,000	+340
Strengthening Native American-serving Nontribal Institutions			
(Part A discretionary)	3,348	3,348	0
(Part F mandatory)	4,660	5,000	+340
Minority Science and Engineering Improvement Program (Part E discretionary)	<u>9,648</u>	<u>9,648</u>	<u>0</u>
Total	606,656	617,196	10,540
Discretionary	462,196	462,196	0
Mandatory	144,460 <sup>2</sup>	155,000 <sup>2</sup>	10,540 <sup>2</sup>

<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

<sup>2</sup> Mandatory appropriations are provided under Title III, Part F, Section 371 of the HEA; these funds are, therefore, not part of the appropriations or budget request. The 2016 levels for mandatory programs have been reduced by 6.8 percent which became effective on October 1, 2015, pursuant to the Budget Control Act of 2011 (P.L. 115-25).

## HIGHER EDUCATION

### Aid for institutional development

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#### PROGRAM DESCRIPTION

The Aid for Institutional Development (AID) programs, commonly referred to as the Title III programs, are designed to promote equity across U.S. postsecondary education by strengthening institutions of higher education (IHEs) that serve high percentages of minority students and students from low-income backgrounds. A low-income individual is defined as an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census. Federal grants made under these programs to eligible institutions support, among other activities, improvements in academic quality, institutional management, and administrative capacity and fiscal stability, infrastructure, and student support services. Specifically, the Title III programs can provide financial assistance to help institutions improve student graduation rates by expanding student support services, to improve their management and fiscal operations, to build endowments, and to make effective use of academic and technological resources. Funding is targeted to minority-serving and other institutions that enroll large proportions of financially disadvantaged students and have low per-student expenditures.

In addition, from its inception in 1965, one of the primary missions of the Title III programs has been to strengthen the Nation's Historically Black Colleges and Universities (HBCUs). The Higher Education Amendments of 1998 extended that mission to include programs to strengthen Tribally Controlled Colleges and Universities (TCCUs) and Alaska Native and Native Hawaiian-serving Institutions (ANNHs). Furthermore, the Higher Education Opportunity Act of 2008 (HEOA), which reauthorized the Higher Education Act of 1965 (HEA), established the Asian American and Native American Pacific Islander-serving Institutions program (AANAPISI), the Native American-serving Nontribal Institutions program (NASNTI), and the Predominantly Black Institutions program (PBIs). The HEOA transferred mandatory funding for the Strengthening HBCUs and Other Minority Serving Institutions program from Title IV, Section 499A of the HEA to Title III, Section 371 of the HEA. The HEOA authorizes and appropriated mandatory funding in Title VIII, Section 897 of the HEA for Master's Degree Programs at HBCUs and PBIs. Lastly, the Student Aid and Fiscal Responsibility Act (SAFRA), signed into law on March 30, 2010, amended the HEA to make mandatory funding for minority serving institutions available through fiscal year 2019 under Section 371 of the HEA.

Strengthening Institutions (Part A, Section 311) authorizes competitions for 1-year planning grants and 5-year discretionary development grants. Under the Strengthening Institutions program (SIP), special consideration is given to institutions that: have endowment funds with a market value per full-time equivalent student less than the market value of endowment funds per full-time equivalent student at similar institutions, and have below-average educational and general expenditures per full-time equivalent undergraduate student. Institutions receiving a 5-year grant under this part are not eligible to receive an additional grant under this part until 2 years after the 5-year grant has expired. Institutions may apply to use their SIP funds to: plan, develop, and implement activities that encourage faculty and academic program development; support improvement in fund and administrative management; support joint use of libraries and laboratories; support construction, maintenance, renovation, and improvement of instructional facilities; support student services; and provide education or counseling services



## HIGHER EDUCATION

### Aid for institutional development

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designed to improve the financial literacy and economic literacy of students or the students' families. To further facilitate the development of eligible institutions, funds may be used to support activities that strengthen an institution's technological capabilities. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar.

To participate in the SIP, an institution must: award bachelor degrees or be a junior or community college; provide an education program legally authorized by the State in which it is located; and be accredited or be making reasonable progress toward accreditation. An institution must also have below-average educational and general expenditures per full-time equivalent undergraduate student and include in its enrollment a significant percentage of financially needy students. The enrollment of needy students criterion may be met if a substantial percentage of the institution's enrolled students are Pell Grant recipients, or if 50 percent of its enrolled students are Title IV need-based aid recipients. If a SIP grantee receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Strengthening Tribally Controlled Colleges and Universities (TCCUs) (Part A, Section 316) authorizes 5-year formula-based discretionary grants that enable TCCUs to improve and expand their capacity to serve American Indian students. The term "Tribal College or University" means an institution that qualifies for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 et seq.) or the Navajo Community College Act (25 U.S.C. 640a note); or is cited in Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note). Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., TCCUs are eligible to receive funding each year. Under Section 371, a mandatory appropriation of \$30 million is available for fiscal years 2010-2019 for TCCUs to be used for the same activities authorized under Section 316 of the HEA.

The Department of Education may reserve 30 percent of the funds appropriated to award 1-year grants of at least \$1 million for institutional construction, maintenance, and renovation needs at eligible institutions, with a preference given to institutions that did not receive an award in a prior fiscal year. The remaining funds must be allocated according using a formula, with a minimum grant of \$500,000. Of the remaining funds (after reservation for construction), 60 percent are allocated based on Indian student counts at eligible institutions and the other 40 percent are distributed equally among eligible TCCUs.

Institutions may apply to use their funds to plan, develop, and implement a wide range of authorized activities that include: faculty and academic program development; improvement in fund and administrative management; construction, maintenance, renovation, and improvement of instructional facilities, including purchase or rental of telecommunications technology equipment or services, and the acquisition of real property adjacent to the campus of the institution on which to construct such facilities; student services; the establishment of a program of teacher education with a particular emphasis on qualifying students to teach Indian children; the establishment of community outreach programs that encourage Indian elementary and secondary school students to develop the academic skills and interest to pursue postsecondary

## HIGHER EDUCATION

### Aid for institutional development

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education; education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families; and developing or improving facilities for Internet use or other distance education technologies.

Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If a TCCU receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH) (Part A, Section 317) authorizes competitions for 1-year planning grants and 5-year discretionary development grants that enable these institutions to improve and expand their capacity to serve Alaska Native and Native Hawaiian students. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, (i.e., they are eligible to receive an additional grant after their 5-year grant period expires). Institutions may apply to use their funds to plan, develop, and implement activities that support a wide range of activities, including: faculty and curriculum development; improvement in fund and administrative management; renovation and improvement in classroom, library, laboratory and other instructional facilities; student services; the purchase of library books and other educational materials; and education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families. These institutions are typically located in remote areas not served by other postsecondary educational institutions.

The term "Alaska Native-serving institution" is defined as an institution that meets the definition of an eligible institution under Section 312(b) of the HEA and that, at the time of application, has an undergraduate enrollment that is at least 20 percent Alaska Native students (as defined in Section 6306 of the Elementary and Secondary Education Act). The term "Native Hawaiian-serving institution" is defined as an institution that meets the definition of an eligible institution under Section 312(b) of the HEA that, at the time of application, has an undergraduate enrollment that is at least 10 percent Native Hawaiian students (as defined in Section 6207 of the Elementary and Secondary Education Act of 1965). If an Alaska Native or Native Hawaiian-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Under Section 371 of the HEA, \$15 million in mandatory funding is available in each of the fiscal years 2008 through 2019 to be used for the same activities authorized under Section 317 of the HEA.

Strengthening Historically Black Colleges and Universities (HBCUs) (Part B, Section 323) authorizes 5-year formula-based discretionary grants to help HBCUs strengthen their infrastructure and achieve greater financial stability. HBCUs may use their funds to plan, develop, and implement activities that support: faculty and academic program development; improvement in fund and administrative management; construction, maintenance, renovation, and improvement of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; the establishment of community outreach programs that will encourage elementary and secondary school students to

## HIGHER EDUCATION

### Aid for institutional development

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develop the academic skills and the interest to pursue postsecondary education; the acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV; and services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Department, except that not more than 2 percent of the grant amount may be used for this purpose.

HBCUs may use no more than 20 percent of the grant funds provided under Part B—which must be matched at a rate of one institutional dollar for each Federal dollar—to establish or increase an institution's endowment fund.

A Part B eligible institution is defined as any accredited, legally authorized HBCU that was established prior to 1964 and whose principal mission was, and is, the education of African Americans. Part B, Section 323, appropriations are allocated among HBCUs based on the number of Pell Grant recipients enrolled, the number of graduates, and the percentage of graduates who are attending graduate or professional school in degree programs in which African Americans are underrepresented. The statute provides for a \$250,000 minimum grant for each eligible institution. If an HBCU receives funding under this program, it cannot receive funding under Part A.

Under Section 371 of the HEA, \$85 million is available in mandatory funding in each fiscal years from 2008 through 2019 for HBCUs. The funds are awarded to HBCUs based on the formula used to allocate funding in the Strengthening HBCUs program, which is authorized under Section 323. Funds are to be used for activities authorized under Section 323, with priority on the following purposes:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Increasing the college or university's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology/sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

## HIGHER EDUCATION

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Strengthening Historically Black Graduate Institutions (HBGIs) (Part B, Section 326) authorizes 5-year formula-based discretionary grants to the following 24 postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Clark-Atlanta University, Tuskegee University School of Veterinary Medicine, Xavier University School of Pharmacy, Southern University School of Law, Texas Southern University School of Law and School of Pharmacy, Florida A&M University School of Pharmaceutical Sciences, North Carolina Central University School of Law, Morgan State University, Hampton University, Alabama A&M, North Carolina A&T State University, University of Maryland Eastern Shore, Jackson State University, Norfolk State University, Tennessee State University, Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and University of the District of Columbia David A. Clarke School of Law.

A grant under this section can be used for: scholarships and fellowships for needy graduate and professional students; construction, maintenance, renovation, and improvement of instructional facilities; the establishment or maintenance of an endowment fund; establishment or improvement of a development office to strengthen and increase contributions from alumni and the private sector; improvement in fund and administrative management; purchase, rental, and lease of scientific and laboratory equipment for educational purposes; purchase of library books, periodicals, technical and scientific journals, microfilms, microfiches, and other educational materials, including telecommunications program materials; acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV of the HEA; services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Department, except that not more than 2 percent of the grant amount may be used for this purpose; and tutoring, counseling, and student service programs designed to improve academic success.

Section 326 grants are limited to \$1 million, unless the HBGI agrees to match 50 percent of the grant funding in excess of \$1 million with non-Federal resources. Institutions are not required to match any portion of the first \$1 million of their award.

An HBGI that received a grant under this section in fiscal year 2008 (and that is eligible to receive a grant after fiscal year 2008) may not receive a grant in subsequent fiscal years that is less than the grant amount received in fiscal year 2008. No institution or university system may receive more than one grant under Section 326 in any fiscal year. If an HBGI receives funding under this program, it cannot receive funding under Title III, Part A of the HEA. In addition, no IHE may receive an HBGI grant while also receiving a grant under the Title V, Part B Promoting Postbaccalaureate Opportunities for Hispanic Americans Program, or the Title VII, Part A, subpart 4 Master's Degree Programs at HBCUs and PBIs.

Of the amount appropriated: the first \$56.9 million (or any lesser amount appropriated) must be used to make grants to the first 18 HBGIs listed above; any amount appropriated in excess of \$56.9 million but less than \$62.9 million must be used to make grants to Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie

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State University, and University of the District of Columbia David A. Clarke School of Law. Any appropriated amount in excess of \$62.9 million must be made available to each of the 24 HBGLs pursuant to a formula that is based on: (1) an institution's ability to match funds; (2) the number of students enrolled in the postgraduate program; (3) the average cost of education per student enrolled in the postgraduate program; (4) the number of students who received a degree from the postgraduate program in the previous year; and (5) the contribution of the institution as calculated by the ratio of programs for which the institution is eligible to receive funds to the number of African Americans receiving graduate or professional degrees in those programs.

Strengthening Predominantly Black Institutions (PBIs) (Part A, Section 318) authorizes 5-year formula-based discretionary grants to help PBIs to plan, develop, undertake, and implement programs to enhance the institution's capacity to serve more low- and middle-income Black American students; to expand higher education opportunities for students by encouraging college preparation and student persistence in secondary school and postsecondary education; and to strengthen the financial ability of the PBIs to serve the academic needs of their students. PBIs may apply to use their funds for activities consistent with those outlined in Section 311(c) of the HEA, academic instruction in disciplines in which Black Americans are underrepresented, establishing or enhancing a program of teacher education designed to qualify students to teach in public elementary or secondary schools, and establishing community outreach programs that will encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education. No more than 50 percent of grant funds awarded may be used for construction or maintenance of a classroom, library, laboratory, or other instructional facility. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. Institutions must provide matching funds from non-Federal sources in an amount that is equal to or greater than the Federal funds used for PBI program activities.

Funding is allocated among PBIs according to a formula that is based on: (1) the number of Pell Grant recipients enrolled, (2) the number of graduates, and (3) the percentage of graduates who are attending a baccalaureate degree-granting institution or a graduate or professional school in degree programs in which Black American students are underrepresented. The statute provides for a \$250,000 minimum grant for each eligible institution. If a PBI receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III; or Part A of Title V of the HEA.

The term "Predominantly Black institution" is defined as an IHE that:

- Has a high enrollment of needy students;
- Has an average educational and general expenditure per full-time equivalent undergraduate student that is low in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction;

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- Has an enrollment of undergraduate students
  - That is at least 40 percent Black American students;
  - That is at least 1,000 undergraduate students;
  - Of which not less than 50 percent are low-income individuals or first-generation college students (as defined in Section 402A(h) of the HEA); and
  - Of which not less than 50 percent are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- Is legally authorized to provide, and provides within the State, an educational program for which the institution of higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;
- Is accredited by a nationally recognized accrediting agency or association determined by the Department to be a reliable authority as to the quality of training offered, or is, according to such an agency or association, making reasonable progress toward accreditation; and
- Is not receiving assistance under Part B of Title III or Part A of Title V of the HEA.

This program is different than the PBI program authorized under Title III, Part F, Section 371 of the HEA. While both programs serve similar institutions, Section 371 is a mandatory program that awards 25 discretionary grants of \$600,000 for up to 4 years in duration. Grants are to be awarded competitively to eligible institutions of higher education to support programs in any of the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males in each of the fiscal years 2008 through 2019. Section 318 awards discretionary development grants to help PBIs to plan, develop, undertake, and implement programs to enhance the institution's capacity to serve more low- and middle-income Black American students and authorizes a broad range of activities.

Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISI) (Part A, Section 320) authorizes 5-year competitive grants to eligible IHEs, as defined under Section 312(b) of the HEA, that have, at the time of application, an enrollment of undergraduate students that is at least 10 percent Asian American or Native American Pacific Islander students. The term "Asian American" means a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam as defined in the Office of Management and Budget's Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity as published on October 30, 1997 (62 Federal Register 58789). The term "Native American Pacific Islander" means any descendant of the aboriginal people of any island in the Pacific Ocean that is a territory or possession of the United States. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., they are eligible to receive an additional grant after their 5-year grant period expires.

The program authorizes grants that enable these institutions to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Institutions may apply to use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of

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faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services; establishing or improving an endowment fund; academic instruction in disciplines in which Asian American and Native American Pacific Islanders are underrepresented; conducting research and data collection for Asian American and Native American Pacific Islander populations and subpopulations; establishing partnerships with community-based organizations serving Asian American and Native American Pacific Islanders; and education or counseling services designed to improve the financial and economic literacy of students or the students' families. If an Asian American or Native American Pacific Islander-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III or Title V of the HEA.

Under Section 371 of the HEA, \$5 million is available in mandatory funding in each fiscal year from 2008 through 2019 for AANAPISIs to carry out activities authorized under Section 311(c) of the HEA—the Strengthening Institutions Program. The mandatory funding provided under Section 371 is available to the same institutions eligible for grants under the AANAPISI program under Section 320, except that the funding provided under Section 371 may also be used for construction in classrooms, libraries, laboratories, and other instructional facilities (activities that are not authorized under Section 320).

Strengthening Native American-serving Nontribal Institutions (NASNTI) (Part A, Section 319) authorizes 5-year competitive grants to eligible IHEs, as defined under Section 312(b) of the HEA, that have, at the time of application, an enrollment of undergraduate students that is not less than 10 percent Native American students; and are not a Tribal College or University (as defined in Section 316 of the HEA). The term “Native American” means an individual who is of a tribe, people, or culture that is indigenous to the United States. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, (i.e., they are eligible to receive an additional grant after their 5-year grant period expires).

Institutions may apply to use their funds to plan, develop, undertake, and carry out activities to improve and expand the institutions' capacity to serve Native Americans and low-income individuals. Supported activities include the: purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instruction and research; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; academic tutoring and counseling programs and support services; and education or counseling services designed to improve the financial and economic literacy of students or the students' families.

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The statute requires a \$200,000 minimum grant for each eligible institution. If a NASNTI receives funding under this program, it cannot receive funding under Part A or Part B of Title III or Part A of Title V of the HEA.

Under Section 371 of the HEA, \$5 million is available in mandatory funding in each fiscal year from 2008 through 2019, to be used for the same activities authorized under Section 319 of the HEA. The mandatory funding authorized under Section 371 is available to the same institutions eligible for grants under the NASNTI program under Section 319. The authorized activities are the same for both programs, except that Section 371 does not include as an authorized activity education or counseling services designed to improve the financial and economic literacy of students or the students' families.

The Minority Science and Engineering Improvement Program (MSEIP) (Part E, Subpart 1) supports discretionary grants for periods of up to 3 years that are awarded competitively to IHEs that are designed to promote long-range improvement in science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic and racial minorities in scientific and technological careers. Only colleges and universities with minority enrollments of greater than 50 percent are eligible to receive assistance under MSEIP. MSEIP allows grantee institutions to support a variety of innovative and customized projects. Typically, MSEIP projects are designed to implement one, or a combination of, educational projects, such as curriculum development, purchase of scientific equipment, or development of research capabilities.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012 .....	\$597,599 <sup>1</sup>
2013 .....	566,560 <sup>2</sup>
2014 .....	577,354 <sup>3</sup>
2015 .....	573,447 <sup>4</sup>
2016 .....	606,656 <sup>5</sup>

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<sup>1</sup> Includes \$166,500 thousand in mandatory funds provided under the HEA.

<sup>2</sup> Includes \$158,009 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$154,512 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$143,685 thousand in mandatory funds provided under the HEA.

<sup>5</sup> Includes \$144,460 thousand in mandatory funds provided under the HEA.



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#### FY 2017 BUDGET REQUEST

The Department requests \$462.2 million in discretionary funding in fiscal year 2017 for the AID programs, the same as the fiscal year 2016 level. In addition, \$155 million is available in mandatory funding in fiscal year 2017 for programs authorized under Section 371 of the Higher Education Act of 1965, as amended; these funds are not part of the fiscal year 2017 budget request. Strengthening the quality of educational opportunities in IHEs dedicated to serving low-income and minority students is a critical part of the Administration's efforts to close the gap in postsecondary educational attainment between low-income and minority students and their peers.

The Administration is committed to assisting such institutions by providing funds to support mission critical activities such as: improvements in academic and student support services; graduation rates; academic quality; institutional management; administrative capacity; and fiscal stability and infrastructure. Grant funds for the AID programs may be used to plan, develop, and implement activities that encourage faculty and academic program development; support joint use of libraries and laboratories; support construction, maintenance, renovation, and improvement of instructional facilities; support student services; and provide education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families.

Given the key role that the institutions supported by the Title III programs serve in providing postsecondary educational opportunities to low-income and minority students, the Administration believes that it is essential for Title III funds to be used in ways that are proven to improve student outcomes. For this reason, as with other higher education programs, the Administration will continue to use evidence-based practices in the Title III programs. Since fiscal year 2012, competitions for the Strengthening Institutions Program (SIP) have included priorities for projects that propose evidence-based practices. For new Title III competitions in the fiscal year 2016, the Department included a competitive preference priority for projects supported by moderate evidence of effectiveness and evidence of promise as defined by the What Works Clearinghouse. A competitive preference priority for practices supported by evidence will also be included for new competitions in the fiscal year 2017 Title III competitions. The revisions to Education Department General Administrative Regulations (EDGAR) (FR Vol. 78, No. 156 dated August 13, 2013) improve the Department's ability to evaluate the performance of discretionary grant programs and grantee projects; support, where appropriate, projects that have evidence of effectiveness; review grant applications using selection factors that promote policy objectives related to project evaluation, sustainability, productivity, and strategy to scale; and reduce burden on grantees in selecting implementation sites, implementation partners, or evaluation service providers for their proposed projects.

The Administration's request includes:

- \$86.5 million in fiscal year 2017 for the Part A, Section 311 *Strengthening Institutions Program (SIP)*, the same as the fiscal year 2016 level. This funding level would continue to support the Administration's commitment to assist institutions that provide educational opportunities to low-income and minority students. SIP became the first HEA Title III program to include a priority for supporting programs, practices, or strategies for which

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there is strong or moderate evidence of effectiveness. SIP has awarded nearly 70 grants between 2012 and 2015 to institutions that proposed projects supported by moderate evidence of effectiveness as defined by the What Works Clearinghouse. In fiscal year 2016, the Department expects to fund down the 2015 funding slate and award 45 new evidence-based grants.

- \$27.6 million in fiscal year 2017 for the Part A, Section 316 *Strengthening Tribally Controlled Colleges and Universities (TCCUs)* program, the same as the fiscal year 2016 level. There are 34 fully accredited Tribal Colleges and Universities in the United States. Three additional universities are in Associate Status, meaning a tribal college seeking formal accreditation status. TCCUs are mainly located in the Midwest and Southwest. The majority of TCCUs are 2-year schools, located in remote areas not served by other postsecondary education institutions. They offer a broad range of degree and vocational certificate programs to students for whom these educational opportunities would otherwise be geographically and culturally inaccessible. Inadequate physical infrastructure is a serious ongoing challenge at all TCCUs. To address these challenges, grantees may conduct construction-related activities to improve facilities under their approved individual development grants.

Over the previous decade, the total enrollment in TCCUs increased by 55 percent, from 13,680 in fall 2000 to 21,179 in fall 2010. However, enrollment decreased to 18,274 in 2013 (2,905 fewer students when compared to enrollment in 2010). In 2013, nearly 14,393 students in TCCUs (78.8 percent of total enrollment) were American Indian/Alaska Native.

Approximately 11 percent of all American Indian/Alaska Native college students were enrolled in TCCUs in 2013. Between 2000 and 2013, the overall enrollment for this population in colleges and universities increased by approximately 7 percent. It is noteworthy that during this same time period, American Indian/Alaska Native enrollment at TCCUs increased at a rate nearly three times greater than that of American Indian/Alaska Native enrollment in colleges and universities generally (20.5 percent versus 7 percent). Despite the overall increases in college enrollment and degree attainment, American Indian/Alaska Native students continue to lag behind their non-native peers in overall educational attainment. In 2012-2013, American Indian/Alaska Natives earned only 0.6 percent of the bachelor's degrees, 0.6 percent of the master's degrees, and 0.6 percent of doctoral degrees awarded in the United States, though American Indian/Alaska Natives comprise 1.2 percent of the population.

In addition, under Section 371 of the HEA, \$30 million is available in mandatory funding for TCCUs in fiscal year 2017. The Department will award funding to all eligible TCCUs using the formula outlined in the program statute.

- \$13.8 million in fiscal year 2017 for discretionary grants under Part A, Section 317 for the *Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH)* program, the same as the fiscal year 2016 level. Like TCCUs, ANNH institutions are typically located in remote areas not served by other postsecondary educational institutions. Between 1990 and 2013, American Indian/Alaska Native enrollment at IHEs increased

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from 102,800 students to 162,600 students; and Asian/Pacific Islander enrollment increased from 572,400 to nearly 1.3 million. The Department will also award grants using \$15 million in mandatory funding provided under Section 371 of the HEA.

- \$244.7 million in fiscal year 2017 for the *Strengthening HBCUs* program under Part B, Section 323, the same as the fiscal year 2016 level. In addition, the Administration requests \$63.3 million in fiscal year 2017 for the *Strengthening Historically Black Graduate Institutions (HBGIs)* program under Part B, Section 326, the same as the fiscal year 2016 level. The fiscal year 2017 request demonstrates the Administration's continued support of HBCUs and HBGIs, which play a unique and vital role in providing higher education opportunities to minority and disadvantaged students. In 2013, HBCUs enrolled 303,167 African American students, or nearly 10.6 percent of all African American students in higher education. The National Center for Education Statistics (NCES) reports that approximately 15 percent of the African Americans who currently hold undergraduate degrees earned their credential from an HBCU.

African American enrollment at IHEs nearly tripled between 1976 and 2013, from about 1 million students to 3 million students. Despite these increases in college enrollment, African American students continue to lag behind their non-African American peers (and the national average) in overall educational attainment. In 2012-2013, African Americans earned only 10.8 percent of the bachelor's degrees, 13.4 percent of the master's degrees, and 7.8 percent of doctoral degrees awarded in the United States. Further, African American student participation in and completion of advanced programs in the physical and natural sciences, engineering, and mathematics continues to be lower than participation for other groups. Part B funding increases the capacity of HBCUs and HBGIs to provide such programs.

Grants provided under the Title III, Part B programs enable HBCUs and HBGIs to continue serving a growing population of students, encourage and prepare more African American students to pursue advanced study, and improve their academic quality, institutional management, and fiscal stability.

Mandatory funding of \$85 million is also made available under Section 371 of the HEA for HBCUs in fiscal year 2017.

- \$9.6 million in fiscal year 2017 for Part A, Section 318 *Strengthening Predominantly Black Institutions (PBIs)* program, the same as the fiscal year 2016 level. PBIs are primarily urban and rural 2-year colleges where at least 40 percent of students are African American and at least 50 percent are low-income or first-generation college students.

In addition, Section 371 of the HEA makes available \$15 million in fiscal year 2017 for PBIs.

- \$3.3 million in fiscal year 2017 for discretionary funds for Part A, Section 320 *Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)* program, the same as the fiscal year 2016 level. Most AANAPISI

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institutions are junior and community colleges where at least 10 percent of students are Asian American or Native American Pacific Islander students. AANAPISI-eligible institutions enroll 75 percent of the total population of low-income AAPI undergraduate students currently enrolled in higher education. They also serve communities with disproportionately high numbers of English language learners and individuals with significant academic needs.

Mandatory funding of \$5 million is also provided under Section 371 of the HEA for AANAPISIs in fiscal year 2017.

- \$3.3 million in fiscal year 2017 for discretionary funds for Part A, Section 319 *Strengthening Native American-serving Nontribal Institutions (NASNTIs)* program, the same as the fiscal year 2016 level. While NASNTIs are not designated as TCCUs, at least 10 percent of the students enrolled at these institutions are Native American and at least 50 percent are low-income. With increasing enrollment at institutions of higher education, nontribal institutions of higher education that serve large populations of Native American students require resources to improve and expand their capacity to serve the unique and diverse needs of their Native American student population.

In fiscal year 2017, mandatory funding of \$5 million is also appropriated under Section 371 of the HEA for NASNTIs.

- \$9.6 million in fiscal year 2017 for the *Minority Science and Engineering Improvement Program*, the same as the fiscal year 2016 level. This request would maintain support for the improvement of science, technology, engineering, and mathematics (STEM) programs at IHEs enrolling large numbers of minority students and would further the Administration's efforts to increase access to a quality higher education for individuals from underrepresented minority groups. According to the "Science and Engineering Indicators 2014" (NSB 14-01), published by the National Science Board, between 2000 and 2011:
  - The proportion of science and engineering (S&E) bachelor's degrees awarded to African American students held steady at 9 percent, while the overall proportion of S&E master's degrees awarded to all students rose from 8 percent to 10 percent.
  - The proportion of S&E bachelor's degrees awarded to Hispanic students rose from 7 percent to 10 percent. In comparison, Hispanics comprise 16 percent of the U.S. population and 15 percent of postsecondary enrollment.
  - The proportion of S&E master's degrees awarded to American Indians/Alaska Natives from 0.5 percent to 0.6 percent. In comparison, American Indians/Alaska Natives comprise 1 percent of the U.S. population and 1 percent of postsecondary enrollment.

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening Institutions</b>			
<b>Discretionary funding:</b>			
Number of new development awards	0	0	12
Average new development award	0	0	\$491
Total new development award funding	0	0	\$5,894
Number of new evidence awards	40	45	0
Average new evidence awards	\$437	\$475	0
Total new evidence award funding	\$17,462	\$21,379	0
Number of NCC development awards	103	68	68
Average NCC development award	\$406	\$419	\$407
Total NCC development award funding	\$41,814	\$28,508	\$27,671
Number of NCC evidence awards	26	65	96
Average NCC evidence award	\$761	\$564	\$543
Total NCC evidence award funding	\$19,794	\$36,647	\$52,104
Peer review of new award applications	\$451	0	\$865
Lapse (grantees accepted other Title III/V grants)	\$941	0	0
Total award funding (Section 311)	\$80,462	\$86,534	\$86,534
Total number of awards	169	178	176
<b>Strengthening TCCUs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	34	0	0
Average new development award	\$755	0	0
Total new development award funding	\$25,662	0	0
Number of NCC development awards	0	34	34
Average NCC development award	0	\$812	\$812
Total NCC development award funding	0	\$27,599	\$27,599
<b>Mandatory funding:</b>			
Number of new development awards	0	34	0
Average new development award	0	\$822	0
Total new development award funding	0	\$27,960	0

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening TCCUs (cont'd)</b>			
Number of NCC development awards	34	0	34
Average NCC development award	\$818	0	\$882
Total NCC development award funding	\$27,810	0	\$30,000
 Total award funding	 \$53,472	 \$55,559	 \$57,599
 TCCU funding: Discretionary (Section 316)	 \$25,662	 \$27,599	 \$27,599
TCCU funding: Mandatory (Section 371)	\$27,810	\$27,960	\$30,000
 TCCU Total number of awards (discretionary and mandatory)	 68	 68	 68
<b>Strengthening ANNHs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	12	0	0
Average new development award	\$713	0	0
Total new development award funding	\$8,555	0	0
 Number of NCC development awards	 3	 15	 15
Average NCC development award	\$944	\$756	\$772
Total NCC development award funding	\$2,832	\$11,337	\$11,574
 Peer review of new award applications	 \$31	 0	 0
 Supplemental awards	 0	 \$2,465	 \$2,228
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$24,308	\$20,876	\$19,359
 Number of new development awards	 0	 7	 0
Average new development award	0	\$536	0
Total new development award funding	0	\$3,750	0

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening ANNHs (cont'd)</b>			
Number of NCC development awards	11	11	18
Average NCC development award	\$1,583	\$1,381	\$1,064
Total NCC development award funding	\$17,412	\$15,187	\$19,159
Peer review of new award applications	0	\$60	0
Total award funding: Strengthening ANNHs	\$26,738	\$27,782	\$28,802
Discretionary (Section 317)	\$12,833 <sup>1</sup>	\$13,802 <sup>2</sup>	\$13,802
Mandatory (Section 371)	\$13,905	\$13,980	\$15,000
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$6,896 <sup>3</sup>	\$5,379 <sup>3</sup>	\$200 <sup>3</sup>
Total number of awards (discretionary and mandatory)	26	33	33
<b>Strengthening HBCUs</b>			
<b>Discretionary funding:</b>			
Number of NCC awards	97	97	97
Average NCC award	\$2,346	\$2,523	\$2,523
Total NCC award funding	\$227,524	\$244,694	\$244,694
<b>Mandatory funding:</b>			
Number of new awards	0	97	0
Average new award	0	\$817	0
Total new award funding	0	\$79,220	0

<sup>1</sup> The Department reprogrammed \$1,319 thousand from the Strengthening Alaska Native and Native Hawaiian-serving institutions that would have otherwise lapsed to the Fund for the Improvement of Postsecondary Education/First in the World (FIPSE/FITW) program.

<sup>2</sup> The Department obligated \$1,080 thousand of funding provided to the Higher Education Account under the 2016 Continuing Resolution to fully fund a FIPSE/FITW grantee that was partially funded in fiscal year 2015. This grantee did not receive full funding in 2015 due to an administrative error that was discovered after most 2015 FIPSE funds had been exhausted.

<sup>3</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening HBCUs (cont'd)</b>			
Number of NCC awards	97	0	97
Average NCC award	\$812	0	\$876
Total NCC award funding	\$78,795	0	\$85,000
 Total award funding	 \$306,319	 \$323,914	 \$329,694
Discretionary (Section 323)	\$227,524	\$244,694	\$244,694
Mandatory (Section 371)	\$78,795	\$79,220	\$85,000
 Total number of awards (discretionary and mandatory)	 194	 194	 194
<b>Strengthening HBGLs</b>			
Number of NCC awards	24	24	24
Average NCC award	\$2,452	\$2,637	\$2,637
Total NCC award funding (Section 326)	\$58,840	\$63,281	\$63,281
Total number of awards	24	24	24
<b>Strengthening PBIs</b>			
<b>Discretionary funding (formula-based):</b>			
Number of new development awards	0	39	0
Average new development awards	0	\$255	0
Total new development awards	0	\$9,942	0
 Number of NCC development awards	 33	 0	 39
Average NCC development award	\$280	0	\$255
Total NCC development award funding	\$9,244	0	\$9,942
 Total award funding (Section 320)	 \$9,244	 \$9,942	 \$9,942
Total number of awards	33	39	39
<b>Mandatory funding (competitive):</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$27,825	\$27,885	\$28,980
 Number of new development awards	 23	 0	 0
Average new development awards	\$601	0	0
Total new development awards	\$13,815	0	0



## HIGHER EDUCATION

### Aid for institutional development

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening PBIs (cont'd)</b>			
Number of NCC development awards	0	23	23
Average NCC development award	0	\$605	\$608
Total NCC development award funding	0	\$13,905	\$13,980
Peer review of new award applications	\$105	0	0
Total award funding	\$23,164	\$23,847	\$23,922
Discretionary (Section 318)	\$9,244	\$9,942	\$9,942
Mandatory (Section 371)	\$13,920	\$13,905	\$13,980
Mandatory (Section 371) estimated carryover (mandatory funds remaining end of the fiscal year)	\$13,905 <sup>1</sup>	\$13,980 <sup>1</sup>	\$15,000 <sup>1</sup>
Total number of awards (discretionary and mandatory)	56	62	62
<b>Strengthening AANAPISIs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	10	0	0
Average new development award	\$310	0	0
Total new development award funding	\$3,095	0	0
Number of NCC development awards	0	10	10
Average NCC development award	0	\$335	\$335
Total NCC development award funding	0	\$3,348	\$3,348
Peer review of new awards applications	\$18	0	0
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the year	\$9,275	\$9,295	\$9,660
Number of new development awards	0	11	0
Average new development awards	0	\$417	0
Total new development awards	0	\$4,589	0

<sup>1</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

## HIGHER EDUCATION

### Aid for institutional development

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening AANAPISIs (cont'd)</b>			
Number of NCC development awards	11	0	11
Average NCC development award	\$422	0	\$424
Total NCC development award funding	\$4,640	0	\$4,660
Peer review of new awards applications	0	\$46	0
Total award funding	\$7,753	\$7,983	\$8,008
Discretionary (Section 320)	\$3,113	\$3,348	\$3,348
Mandatory (Section 371)	\$4,640	\$4,635	\$4,660
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$4,635 <sup>1,2</sup>	\$4,660 <sup>2</sup>	\$5,000 <sup>2</sup>
Total number of awards (discretionary and mandatory)	21	21	21
<b>Strengthening NASNTIs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	7	0	0
Average new development award	\$443	0	0
Total new development award funding	\$3,098	0	0
Number of NCC development awards	0	7	7
Average NCC development award	0	\$478	\$478
Total NCC development award funding	0	\$3,348	\$3,348
Peer review of new awards applications	\$15	0	0
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$9,275	\$9,295	\$9,660
Number of new development awards	0	11	0
Average new development awards	0	\$417	0
Total new development awards	0	\$4,589	0

<sup>1</sup> The Department reprogrammed \$158,336 from the Strengthening Native American-serving Nontribal Institutions program that would have otherwise lapsed to the Fund for the Improvement of Postsecondary Education/First in the World (FIPSE/FITW) program.

<sup>2</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

## HIGHER EDUCATION

### Aid for institutional development

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Strengthening NASNTIs (cont'd)</b>			
Number of NCC development awards	12	0	11
Average NCC development award	\$387	0	\$424
Total NCC development award funding	\$4,640	0	\$4,660
Peer review of new awards applications	0	\$46	0
Total award funding (discretionary and mandatory)	\$7,753	\$7,983	\$8,008
Discretionary (Section 319)	\$3,113	\$3,348	\$3,348
Mandatory (Section 371)	\$4,640	\$4,635	\$4,660
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$4,635 <sup>1</sup>	\$4,660 <sup>1</sup>	\$5,000 <sup>1</sup>
Total number of awards (discretionary and mandatory)	19	18	18
<b>Minority Science and Engineering Improvement</b>			
Number of new awards	14	16 <sup>2</sup>	12
Average new award	\$233	\$226	\$236
Total new award funding	\$3,264	\$3,617	\$2,836
Number of NCC awards	24	26	29
Average NCC award	\$234	\$232	\$232
Total NCC award funding	\$5,618	\$6,031	\$6,716
Peer review of new awards applications	\$89	0	\$96
Total award funding	\$8,971	\$9,648	\$9,648
Total number of awards	38	42	41

<sup>1</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

<sup>2</sup> Instead of conducting a new competition in fiscal year 2016, the Department intends to fund down the fiscal year 2015 grant slate to make new awards in fiscal year 2016 if a significant number of high quality applicants remain on the fiscal year 2015 slate.

## HIGHER EDUCATION

### Aid for institutional development

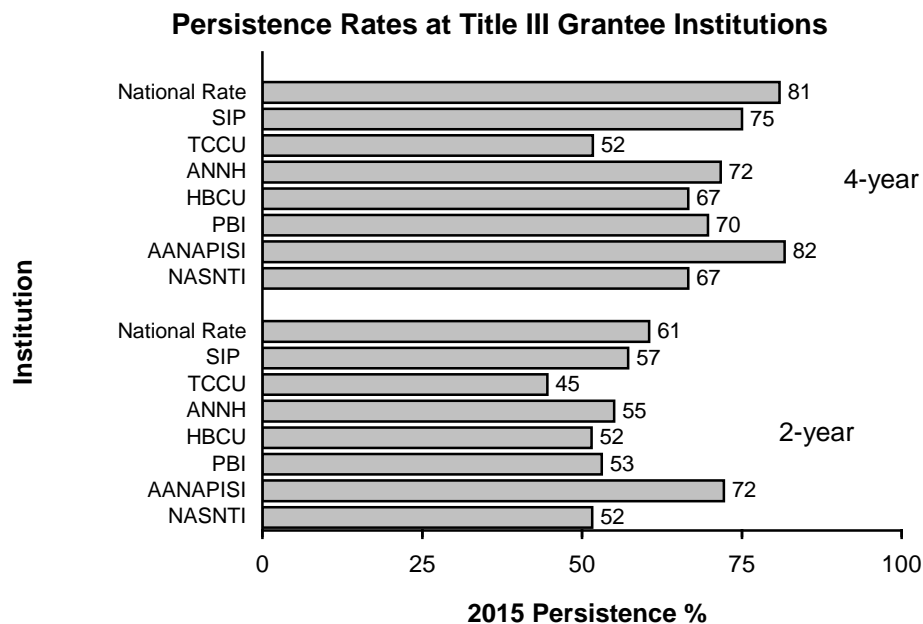
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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information for grantees, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by the programs.

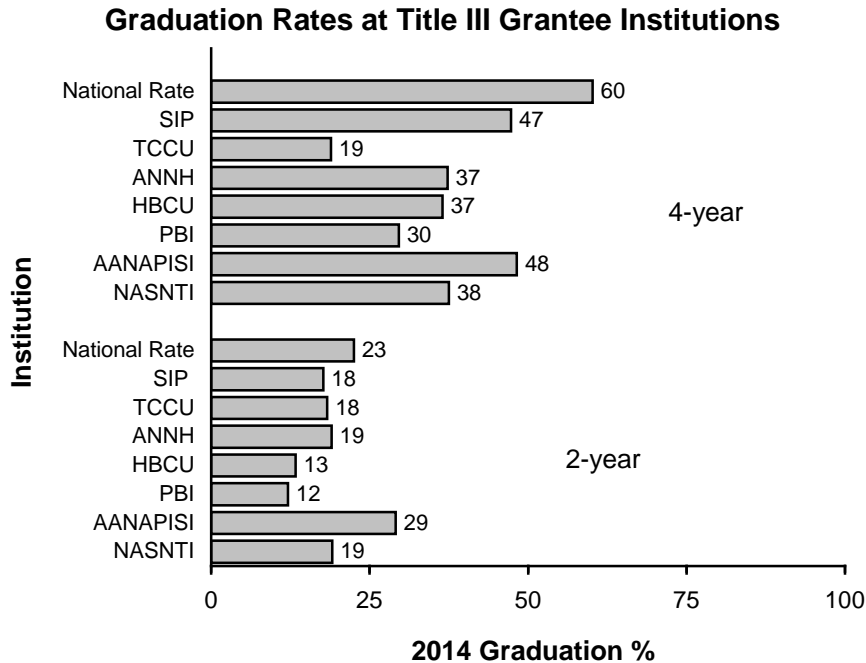
The Department has identified a handful of critical indicators for which annualized data are available across all Title III institutions, including grantees. Such indicators include enrollment, persistence, and a number of outcome areas related to graduation. All national persistence and graduation rates reflected below are estimates based on preliminary data from NCES/Integrated Postsecondary Education Data Systems (IPEDS) and subject to minor changes.



## HIGHER EDUCATION

### Aid for institutional development

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**Additional information:** AANAPISI grantee institutions had the highest persistence rates in 2015 for 4-year and 2-year Title III institutions (82 percent and 72 percent, respectively), exceeding the national rate of 81 percent and 61 percent, respectively. In addition, AANAPISI-grantee institutions had the highest graduation rates for 4-year and 2-year grantee institutions—48 percent and 29 percent versus national rates of 60 percent and 23 percent in 2014, respectively. Despite the relatively stronger overall performance results at AANAPISI grantee institutions, there are many diverse subgroups in the AANAPISI population with academic challenges, registering lower levels of achievement.

**Goal:** To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.

**Objective:** Maintain or increase the enrollment, persistence, and graduation rates at minority-serving institutions.

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### Aid for institutional development

**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at Strengthening Institutions Program (SIP) institutions.

Year	Target	Actual
2008		5.1% (4-year change)
2013	6.4%	11.3% (5-year change)
2018	TBD	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). The initial target of 6.4 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 which, at the time, was 5.1 percent. The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

NCC Awards 2004-2007	Enrollment 2004-2007	NCC Awards 2008-2012	Enrollment 2008-2012	NCC Awards 2013-2017	Enrollment 2013-2017
2004	382,890	2008	435,686	2013	581,340
2005	391,272	2009	454,477	2014	555,869
2006	363,609	2010	493,315	2015	529,765
2007	395,897	2011	511,882		
2008	402,507	2012	499,414		
		2013	484,943		
Change	5.1%	Change	11.3%		

Student enrollment at SIP-grantee institutions in 2008 was used to calculate the percentage change against student enrollment at SIP-grantee institutions in the base year 2004. Likewise, student enrollment at SIP-grantee institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment data for 2018 will reflect the anticipated percentage increase in enrollment for the full set of SIP institutions receiving continuation grants in fiscal year 2018, i.e., grantees who receive new awards in fiscal years 2013-2017. Even though the SIP program awarded approximately the same number of grants in 2004-2007 and 2008-2012, the average enrollment rates vary greatly. This is more than likely due to the length of time used to measure each cohort—the average enrollment rate for the 2008 data year is measured over 4 years, while the average enrollment rate for the 2013 data year is measured over 5 years. Only 6 institutions received funding from both the 2004-2007 period and the 2008-2012 period.

**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

## HIGHER EDUCATION

### Aid for institutional development

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**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	73.0%	73.0%	62.0%	57.0%
2013	74.0	72.0	62.0	55.0
2014	74.0	74.0	62.0	56.0
2015	74.5	75.0	62.5	57.0
2016	74.5		62.5	
2017	75.0		63.0	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year SIPs graduating within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year SIPs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	50.5%	46.0%	23.0%	19.0%
2013	51.0	45.5	24.0	17.0
2014	51.5	47.0	24.0	18.0
2015	52.0		24.5	
2016	52.5		25.0	
2017	53.0		25.0	

**Additional information:** Persistence at 4-year SIP institutions exceeds the target set for 2015 and is 6 percentage points lower than persistence rates at all 4-year public and private schools (81 percent). In addition, the current performance level for 2-year SIP institutions is 3.5 percentage points lower than the rate for all 2-year public and private schools nationally (60.5 percent). Persistence data for 2016 will be available in December 2016.

The targets on the 4-year graduation measure will serve to gradually narrow the gap between program and national (60.2 percent) performance. Graduation rates at 2-year SIP-grantee institutions is comparable to the graduation rate at TCCUs and ANNH-grantee institutions, but falls short of the national graduation rate at 2-year public and private institutions (22.5 percent). Graduation data for 2014-2015 will be available in December 2016.

## HIGHER EDUCATION

### Aid for institutional development

**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at TCCUs.

Year	Target	Actual
2008		24.3% (5-year change)
2013	24.0%	15.3% (5-year change)
2018	TBD	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). The initial target of 24 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 (30 institutions). The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

NCC Awards 2004-2007	Enrollment 2004-2007 (30 grantees)	NCC Awards 2008-2012	Enrollment 2008-2012 (32 grantees)	NCC Awards 2013-2017	Enrollment 2013-2017 (34 grantees)
2003	7,776	2008	9,741	2013	11,419
2004	9,249	2009	9,433	2014	10,871
2005	9,608	2010	11,674	2015	10,499
2006	9,038	2011	12,759		
2007	9,294	2012	11,581		
2008	9,666	2013	11,228		
Change	24.3%	Change	15.3%		

Student enrollment at TCCUs in 2008 was used to calculate the percentage change against student enrollment at TCCUs in the base year 2003. Likewise, student enrollment at TCCUs institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. The 2013 data year includes 2 additional TCCUs—Tohono O'odham Community College and Ilisagvik College—than student enrollment from data year 2008.



## HIGHER EDUCATION

### Aid for institutional development

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**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year TCCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same TCCU.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year TCCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same TCCU.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	49.0%	48.0%	51.0%	43.0%
2013	50.0	50.0	52.0	43.0
2014	50.0	53.0	52.0	48.0
2015	50.0	52.0	52.0	45.0
2016	50.5		52.0	
2017	51.0		53.0	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year TCCUs graduating within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year TCCUs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	16.5%	13.0%	28.0%	22.0%
2013	17.0	16.0	28.0	17.0
2014	17.0	19.0	28.0	18.0
2015	17.0		28.0	
2016	17.0		28.0	
2017	18.0		28.5	

**Additional information:** The 2015 persistence rate at 4-year TCCUs is 1 percentage point lower than the 2014 rate and exceeds the target set for 2015. However, the persistence rate at 2-year TCCUs falls short of the target set for 2015 of 52 percent, and is 3 percentage points below the 2014 persistence rate.

The 2014 graduation rates at 4-year TCCUs exceeds the target by 2 percentage points, and is 3 percentage points higher than the 2013 rate. The 4-year and 2-year graduation rates fail to meet the national rates of 60 percent and 22.5 percent, respectively. Graduation data for 2014-2015 will be available in December 2016. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

## HIGHER EDUCATION

### Aid for institutional development

**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at ANNH institutions.

Year	Target	Actual
2008		1.7% (5-year change)
2013	0	13.4% (5-year change)
2018	TBD	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). The initial target set for 2013 reflects the anticipated percentage increase in enrollment over the performance period of fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 (11 institutions), i.e., grantees from the fiscal years 2004-2007 competitions. The target of “0” for 2013 reflects the fact that the Department did not anticipate an increase in enrollment over the performance period. The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

NCC Awards 2004-2007	Enrollment 2004-2007 (11 grantees)	NCC Awards 2008-2012	Enrollment 2008-2012 (11 grantees)	NCC Awards 2013-2017	Enrollment 2013-2017 (9 grantees)
2003	13,638	2008	23,438	2013	24,632
2004	13,739	2009	23,933	2014	24,414
2005	13,717	2010	25,606	2015	26,611
2006	13,695	2011	26,343		
2007	13,529	2012	26,325		
2008	13,407	2013	26,580		
Change	-1.7%	Change	13.4%		

Student enrollment at ANNH-grantee institutions in 2008 was used to calculate the percentage change against student enrollment at ANNH-grantee institutions in the base year 2003. Likewise, student enrollment at ANNH-grantee institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment for data year 2018 will reflect the anticipated percentage increase in enrollment for ANNH-grantee institutions receiving continuation funding in fiscal year 2018, i.e., grantees who receive new awards in fiscal year in 2013-2017. Even though the both cohorts represented above awarded the same number of grants, one institution (the University of Hawaii at Manoa) in the 2008-2012 cohort enrolled over 11,000 students each year between 2008-2012.

## HIGHER EDUCATION

### Aid for institutional development

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**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year ANNH-serving institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH-serving institution.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year ANNH-serving institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH-serving institution.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	76.5%	75.0%	59.0%	63.0%
2013	77.0	75.0	59.5	64.0
2014	77.0	72.0	59.5	56.0
2015	77.5	72.0	71.0	55.0
2016	77.5		71.0	
2017	78.0		71.5	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year ANNH institutions who graduate within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year ANNH institutions who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	46.5%	47.0%	16.0%	15.0%
2013	47.0	46.0	16.0	16.5
2014	47.0	37.0	16.0	19.0
2015	47.5		16.5	
2016	47.5		16.5	
2017	48.0		16.5	

**Additional information:** The 2015 persistence rate at 4-year ANNH-grantee institutions is the same as the 2013 rate; however, the persistence rate at 2-year institutions is 1 percentage point lower than the 2013 rates; however, both rates fall short of meeting the targets set for 2015. Data for only four 2-year grantees were used to calculate the graduation rate for 2014. The 4-year graduation rate is comparable to the 4-year graduation rate at HBCUs (36.5 percent) and NASNTI-grantee institutions (37.5 percent). Both lag behind national graduation rates at 4-year and 2-year public and private schools (60.2 percent and 22.5 percent, respectively). Graduation data for 2014-2015 will be available in December 2016. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

## HIGHER EDUCATION

### Aid for institutional development

**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HBCUs.

Year	Target	Actual
2008		8.0% (5-year change)
2013	8.0%	-0.3% (5-year change)
2018	TBD	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). The initial target of 8 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from HBCUs receiving funding in fiscal year 2008 (96 institutions). The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

NCC Awards 2004-2007	Enrollment 2004-2007 (97 grantees)	NCC Awards 2008-2012	Enrollment 2008-2012 (96 grantees)	NCC Awards 2013-2017	Enrollment 2013-2017 (96 grantees)
2003	200,369	2008	217,628	2013	223,101
2004	217,738	2009	218,676	2014	216,282
2005	220,705	2010	228,399	2015	207,993
2006	219,454	2011	230,847		
2007	216,782	2012	226,493		
2008	216,207	2013	217,080		
Change	8.0%	Change	-0.3%		

Student enrollment at HBCUs in 2008 was used to calculate the percentage change against student enrollment at HBCUs in the base year 2003. Likewise, student enrollment at HBCUs in 2013 was used to calculate the percentage change against student enrollment in the base year 2008.

## HIGHER EDUCATION

### Aid for institutional development

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**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	68.5%	65.0%	57.0%	57.0%
2013	69.0	65.0	57.0	53.0
2014	69.0	65.0	57.0	50.0
2015	69.5	67.0	57.5	51.5
2016	69.5		57.5	
2017	70.0		58.0	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HBCUs graduating within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HBCUs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	40.0%	33.0%	16.0%	15.0%
2013	40.0	34.0	16.5	14.0
2014	40.0	36.5	17.0	13.0
2015	40.0		17.5	
2016	40.0		17.5	
2017	41.0		18.0	

**Additional information:** The 2015 persistence rates at 4-year HBCUs (67 percent) and 2-year HBCUs (51.5 percent) currently lag behind national persistence rates for 4-year public and private schools is (80.9 percent) and 2-year public and private schools (60.5 percent). Both 4-year and 2-year HBCUs missed the targets set for 2015 by 2.5 and 6 percentage points, respectively. Persistence data for 2016 will be available December 2016.

The graduation rate for 2-year HBCUs falls short of the target set for 2014 by 3.5 percentage points and the national rate by nearly 9.5 percentage points. Graduation data for 2014-2015 will be available in December 2016. The graduation rate at 2-year HBCUs is comparable to the rates at PBIs (12 percent). Performance data for these measures are derived from electronic annual performance reports from grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

## HIGHER EDUCATION

### Aid for institutional development

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**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time graduate students enrolled at HBGLs.

Year	Target	Actual
2008		13.0% (5-year change)
2013	13.0%	22.0% (5-year change)
2018	TBD	

**Degree Completion Measure:** The number of PhDs, first professional, and Master's degrees awarded at HBGLs.

Year	Target	Actual
2012	4,967	6,720
2013	6,500	7,251
2014	6,600	7,126
2015	6,700	
2016	6,800	
2017	6,900	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at the original 18 HBGLs in 2008 (11,144) was used to calculate the percentage change against student enrollment at those HBGLs in the base year 2003 (9,860). Student enrollment for 2013 is for the 5-year grant period 2009-2013 and includes 6 additional HBGLs added in 2008 when the HEA was reauthorized. These include: Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and the University of the District of Columbia David A. Clarke School of Law. Student enrollment at the 24 HBGLs grew by nearly 23 percent, from 12,744 in 2008 to 15,632 in 2014, exceeding the target set for 2013 for student enrollment by 8 percentage points. The next enrollment period, fiscal years 2013-2018, will be based upon the fiscal year 2014-2017 actual experience.

The program's performance exceeded the target set for 2014 for degree completion. Data for 2015 will be available in December 2016. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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**Enrollment Measure:** The percentage change of the number of full-time degree-seeking undergraduate students enrolled at PBIs.

Year	Target	Actual
2011		15.6% (1-year change)
2016	TBD	

**Additional information:** This program received its first year of funding in 2008. Data for the 2013 persistence rate and the 2012 graduation rate are from PBI grantees who received a new award in 2010 and 2011 in the discretionary and mandatory PBI programs. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at PBI-grantee institutions in 2011 (59,908) was used to calculate the percentage change against student enrollment at PBIs in the base year 2008 (56,629). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2015 has decreased by 20 percent.

NCC Awards 2011-2015	Enrollment 2011-2015 (41 grantees—discretionary and mandatory)
2011	129,471
2012	127,166
2013	116,460
2014	114,427
2015	103,636
2016	
Change	-20.0%

**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same PBI.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same PBI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	72.0%	72.0%	54.0%	53.0%
2013	72.5	71.0	54.5	50.0
2014	73.0	66.0	54.5	52.0
2015	73.0	70.0	55.0	53.0
2016	73.0		55.0	
2017	73.5		55.5	

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**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year PBIs who graduate within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year PBIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	29.0%	35.0%	13.0%	14.0%
2013	29.5	29.0	13.5	13.0
2014	29.5	30.0	13.5	12.0
2015	30.0		14.0	
2016	30.0		14.0	
2017	30.5		14.5	

**Additional information:** The 2015 persistence rates at 4-year and 2-year PBIs lag behind the national 2015 persistence rates and did not meet the targets set for 2015. The 2014 graduation rate at 4-year PBIs exceed the target set for 2014, and is higher than the 2013 rate. The graduation rate at 2-year PBIs is comparable to the rates at HBCUs (13 percent). Graduation data for 2014-2015 will be available in December 2016. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Although the funding for discretionary (formula) and mandatory (competitive) PBI programs are awarded to different institutions and support significantly different activities, the Department believes assessment of the performance of both programs should focus on enrollment, persistence, and graduation rates at PBIs. Therefore, performance data for the discretionary PBI program and the mandatory PBI program are combined.

**Enrollment Measure:** The percentage change of the number of full-time degree-seeking undergraduate students enrolled at AANAPISIs.

Year	Target	Actual
2011		3.4% (1-year change)
2016	TBD	

**Additional information:** This program received its first year of funding in 2008. Recent data are from 17 grantees who received discretionary and mandatory funding from the AANAPISI programs—eight 2-year institutions and nine 4-year institutions. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at AANAPISI-grantee institutions in 2011 (68,687) was used to calculate the percentage change against student enrollment at AANAPISIs in the base year 2008 (63,000). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2015 is 3.5 percent.



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NCC Awards 2011-2015	Enrollment 2011-2015 (17 grantees—discretionary and mandatory)
2011	114,545
2012	119,197
2013	118,100
2014	119,090
2015	118,536
2016	
Change	3.5%

**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year AANAPISIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same AANAPISI.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year AANAPISIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same AANAPISI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	80.0%	77.0%	70.0%	73.0%
2013	80.0	81.0	70.0	71.0
2014	80.0	81.0	70.0	71.0
2015	80.5	82.0	70.5	72.0
2016	81.0		71.0	
2017	81.0		71.0	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year AANAPISIs who graduate within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year AANAPISIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	48.0%	49.0%	23.0%	31.0%
2013	48.5	49.0	23.0	30.0
2014	48.5	48.0	23.0	29.0
2015	49.0		23.0	
2016	49.5		23.0	
2017	49.5		23.5	

**Additional information:** The performance rate of AANAPISI-grantee institutions exceeded the 2015 targets set for persistence at 4-year and 2-year AANAPISI-grantee institutions by 1.5 percentage points, respectively. In addition, 2-year AANAPISI-grantee institutions exceeded the national graduation rate for 2-year public and private schools (22.5 percent) by nearly 7 percentage points. Although AANAPISI-grantee institutions failed to meet the national graduation rate for 4-year institutions, the program had the highest graduation rate at 4-year Title III institutions (48 percent), and the highest graduation rate at 2-year Title III institutions (29 percent). Performance data for these measures are derived from electronic annual

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performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

**Enrollment Measure:** The percentage change of the number of full-time degree-seeking undergraduate students enrolled at NASNTIs.

Year	Target	Actual
2011		16.7% (1-year change)
2016	TBD	

**Additional information:** This program received its first year of funding in 2008. Recent data in the NASNTI program are from 13 grantees who received funding in the discretionary NASNTI program in 2010—ten 2-year institutions and three 4-year institutions. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at NASNTI-grantee institutions in 2013 (20,637) was used to calculate the percentage change against student enrollment at NASNTIs in the base year 2011 (20,844). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2015 is -0.5 percent.

NCC Awards 2011-2015	Enrollment 2011-2015 (16 grantees—discretionary and mandatory)
2011	51,014
2012	52,621
2013	53,285
2014	51,082
2015	50,756
2016	
Change	-0.5%

**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	71.5%	63.0%	52.0%	54.0%
2013	72.0	64.0	52.5	51.0
2014	72.0	66.0	52.5	52.5
2015	72.0	67.0	53.0	52.0
2016	72.0		53.0	
2017	73.0		53.5	

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**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year NASNTIs who graduate within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year NASNTIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	33.5%	32.0%	20.0%	18.0%
2013	34.0	37.0	20.5	18.0
2014	34.0	37.5	20.5	19.0
2015	34.5		21.0	
2016	34.5		21.0	
2017	35.0		21.5	

**Additional information:** The 4-year persistence rate at NASNTI-grantee institutions is higher than the 2014 persistence rate but falls short of the target set for 2015 by 5 percentage points. The 4-year and 2-year persistence rates at NASNTI-grantee institutions are comparable with the 4-year and 2-year persistence rates at HBCUs (67 percent and 51.5 percent, respectively).

The 4-year graduation rate exceeds the target set for 2014, but the graduation rate at 2-year institutions misses the target by nearly 2 percentage points. The 2-year graduation rate at NASNTI-grantee institutions is comparable to the graduation rates at TCCUs, ANNH-grantee institutions, and SIP institutions. Graduation data for 2014-2015 will be available in December 2016. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions and are subject to NCES consistency and validity checks.

The Department is re-examining the methodology used for the current measures of enrollment and graduation in the MSEIP program. The current enrollment measure is calculated by determining the percentage change between the average minority enrollment in the fields of engineering, mathematics, biological sciences, and physical sciences at grantee institutions just before the beginning of the MSEIP grant period and at the end of the grant period. However, the classification of enrollments into fields of study may not be very reliable, with many students unsure of their major upon enrolling. In addition, data are not available for some years because enrollment data by field of study is provided only biennially in IPEDS.

The current graduation measure is not calculated in the same manner as in IPEDS (graduating within 150 percent of normal time). The current MSEIP graduation measure uses degree completion data calculated using NCES/IPEDS Classification of Instructional Program (CIP) Codes developed to facilitate collection and reporting of postsecondary degree completions by major field of study using standard classifications. For 4-year institutions receiving continuation funding, the completion rate is calculated using data generated from 39 IPEDS CIP codes (covering 15 major fields of study) selected by the Department relevant to this program and data from IPEDS in 4 basic fields of study—math, engineering, biological sciences, and physical sciences. This measure is problematic because it compares minority enrollments in the 4 broad fields of study to minority completions using the 39 IPEDS CIP codes 6 years later.

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As an alternative, the Department used IPEDS data to determine whether the percentage of bachelor's degrees conferred that were in STEM fields increased between 2005 and 2010. Specifically, data examined were:

- The percentage of bachelor's degrees conferred by the 2005 cohort of MSEIP grantees in 2005 and 2010 that were in STEM fields;
- The percentage of bachelor's degrees conferred by all Title IV eligible institutions in 2005 and 2010 that were in STEM fields.

In addition, the same percentages for the two largest underrepresented racial/ethnic groups were examined.

The intent is to examine whether an increasing percentage of students in MSEIP institutions earn degrees in STEM fields, given that one of the main purposes of the MSEIP program is to increase the participation of underrepresented minorities in scientific and technological careers. While it would not be possible to attribute changes to the MSEIP program, given the importance of STEM fields to the Nation's future, increases would be expected over time.

STEM fields can include a wide range of disciplines. However, for purposes of this data analysis, STEM fields include computer and information sciences; engineering; engineering technologies and engineering-related fields; biological and biomedical sciences; mathematics and statistics; physical sciences; science technology/technicians; and agriculture, agriculture operations, and related sciences.

**Measure:** Number and percentage of bachelor's degrees conferred that are in STEM fields, 2005 and 2010.

	2005 MSEIP Grantees	2010 MSEIP Grantees	2005 All Title IV Institutions	2010 All Title IV Institutions
All students				
Number of STEM degrees	4,430	4,896	227,131	253,431
Number of degrees	23,866	32,663	1,411,002	1,620,629
Percent of degrees that are in STEM fields	15.7%	15.0%	16.1%	15.6%
Black or African American students				
Number of STEM degrees	915	847	16,405	16,196
Number of degrees	7,193	6,956	127,978	152,404
Percent of degrees that are in STEM fields	12.7%	12.2%	12.8%	10.6%
Hispanic students				
Number of STEM degrees	1,237	1,713	15,596	19,607
Number of degrees	9,407	12,688	111,616	147,205
Percent of degrees that are in STEM fields	13.1%	13.5%	14.0%	13.3%

In 2005, approximately 15.7 percent of all bachelor's degrees conferred by the 2005 cohort of MSEIP grantees were in STEM fields, a figure that was slightly higher than the 2010 percentage. These percentages are comparable to that of those at all Title IV institutions in 2005 and 2010. Overall, the percentages of STEM degrees awarded to "all students" in 2005

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and 2010 were higher than the comparable percentages of STEM degrees awarded to either Black or Hispanic students, and the percentages did not change appreciably between 2005 and 2010.

### Efficiency Measures

The Department developed a common efficiency measure for the AID programs. These calculations do not take into account Federal student financial aid received by these institutions. Not only has the Department revised targets for 2013 based on a review of actual performance data from previous years for these programs to more accurately reflect program outcomes, but it has also based future calculations and targets to include both discretionary and mandatory funding in the TCCUs, ANNH-serving institutions, HBCUs, PBIs, AANAPISIs, and NASNTIs programs.

**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at SIP institutions.

Year	Target	Actual
2012	\$350	\$393
2013	430	313
2014	425	334
2015	420	
2016	415	
2016	415	
2017	410	

**Measure:** Cost per successful outcome: Federal cost per undergraduate degree at TCCUs.

Year	Target	Actual
2012	\$12,500	\$27,486
2013	32,950 <sup>1</sup>	26,557
2014	32,650	25,630
2015	32,600	
2016	32,550	
2017	32,500	

<sup>1</sup> The Department revised targets beginning in 2013 to accommodate the influx of mandatory funding resulting from SAFRA for these programs. SAFRA makes funding for minority-serving institutions available through fiscal year 2019 under section 371 of the HEA.

**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at ANNH-serving Institutions.

Year	Target	Actual
2012	\$2,775	\$1,448
2013	2,775	2,256
2014	2,750	2,739
2015	2,725	
2016	2,700	
2017	2,675	

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**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at HBCUs.

Year	Target	Actual
2012	\$5,400	\$6,507
2013	7,415 <sup>1</sup>	5,657
2014	7,340	6,027
2015	7,265	
2016	7,190	
2017	7,115	

<sup>1</sup> The Department revised targets beginning in 2013 because performance in this program was worse than expected.

**Measure:** Cost per successful outcome: Federal cost per graduate degree at HBGIs.

Year	Target	Actual
2012	\$12,700	\$8,774
2013	9,355 <sup>1</sup>	7,706
2014	9,262	8,121
2015	9,165	
2016	9,068	
2017	8,975	

<sup>1</sup> The Department revised targets beginning in 2013 because performance in this program was better than expected.

**Measure:** Cost per successful outcome: Federal cost per undergraduate degree at PBIs.

Year	Target	Actual
2012	\$1,800	1,008
2013	1,040 <sup>1</sup>	821
2014	1,030	787
2015	1,020	
2016	1,010	
2017	1,000	

<sup>1</sup> The Department revised targets beginning in 2013 because performance in this program was better than expected.

**Measure:** Cost per successful outcome: Federal cost per undergraduate degree at AANAPISIs.

Year	Target	Actual
2012	\$385	202
2013	300	180
2014	295	254
2015	290	
2016	285	
2017	280	

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**Measure:** Cost per successful outcome: Federal cost per undergraduate degree at NASNTIs.

Year	Target	Actual
2012	\$2,150	810
2013	1,025 <sup>1</sup>	505
2014	1,015	563
2015	1,005	
2016	995	
2017	985	

<sup>1</sup> The Department revised targets beginning in 2013 because performance in this program was better than expected.

**Additional information:** These measures are calculated as the appropriation for the program divided by the number of undergraduate and graduate degrees awarded. Given that the average cost per successful outcome for 2009 and 2010 for many of the Aid for Institutional Development programs either significantly exceeded or was significantly lower than their targets, the Department revised targets, beginning in 2013, to more accurately reflect actual performance. A similar efficiency measure has been established for the Developing HSIs program and for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions. Performance on efficiency measures exceeded the targets set for 2013 for every Title III program.

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### Aid for Hispanic-serving institutions

(Higher Education Act of 1965, Title V, Parts A and B; Title III, Part F, Section 371(b)(2)(B); and Title VIII, Part AA, Section 898)

FY 2017 Authorization: To be determined (discretionary)<sup>1</sup>; \$100,000 (mandatory)

Budget Authority:

	<u>2016</u>	<u>2017</u>	<u>Change</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$107,795	\$107,795	0
Developing Hispanic-Serving Institutions Science, Technology, Engineering, and Mathematics and Articulation (mandatory) (HEA III-F)	93,200	100,000	+\$6,800
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	<u>9,671</u>	<u>9,671</u>	<u>0</u>
Total	210,666	217,466	+6,800
Discretionary	117,466	117,466	0
Mandatory	93,200 <sup>2</sup>	100,000 <sup>2</sup>	+6,800 <sup>2</sup>

<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

<sup>2</sup> Mandatory appropriations are provided under Title III, Part F, Section 371 of the HEA, these funds are, therefore, not part of the appropriations or budget request.

### PROGRAM DESCRIPTION

The Developing Hispanic-serving Institutions program, authorized under Title V of HEA, provides grants to Hispanic-Serving Institutions (HSIs) to expand educational opportunities for, and improve the academic attainment of, Hispanic students. The program supports efforts to expand and enhance academic offerings, program quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students and helping large numbers of Hispanic students and other low-income individuals complete postsecondary degrees. HSIs are defined as institutions that have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

Grants are made for a duration of up to 5 years. Grantees may use their funds to plan, develop, and implement a wide range of authorized activities, including activities that encourage: faculty and academic program development; better management of funds and administration; construction and maintenance of instructional facilities; student services designed to improve college completion; the establishment of a program of teacher education designed to qualify students to teach in public schools; establishment of community outreach programs that



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### Aid for Hispanic-serving institutions

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encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and creating or improving facilities for Internet or other distance learning academic instruction, including purchase or rental of telecommunications technology equipment and services. Also, HSIs may use no more than 20 percent of the grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If an institution receives funding under this program, it cannot receive funding under Part A or Part B of Title III.

Individual development grants support efforts to resolve institutional problems. Cooperative arrangement development grants between two or more IHEs support efforts to resolve institutional problems common to the IHEs and enable IHEs to combine their resources to better achieve institutional goals and avoid costly duplication of effort. In addition, 1-year planning grants may be awarded for the preparation of plans and grant applications under this program.

The HSI STEM and Articulation Program, authorized under Title III, Part F of the HEA, is designed to increase the number of Hispanic and other low-income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to develop model transfer and articulation agreements between 2-year and 4-year HSIs in such fields. The Student Aid and Fiscal Responsibility Act (SAFRA) amended the Higher Education Act of 1965 to provide \$100 million in mandatory funding per year for fiscal years 2010 through 2019 for this program.

Promoting Postbaccalaureate Opportunities for Hispanic Americans program, authorized under Title V of HEA, seeks to expand postbaccalaureate educational opportunities for, and improve the educational attainment of, Hispanic students. The program is designed to expand postbaccalaureate academic offerings and enhance program quality in the institutions of higher education that are educating large numbers of Hispanic and low-income students. To be eligible for a grant under this program, an institution of higher education must be an HSI that offers a program that leads to a postbaccalaureate certificate or degree. Grants are made for a duration of up to 5 years. Institutions receiving grants under this program may also receive funds under Title V, Part A.

Authorized activities include: purchasing, renting, or leasing scientific or laboratory equipment used for educational purposes; construction, maintenance, renovation and facilities improvement, including telecommunications; purchasing library books, periodicals, journals, and other educational materials, including telecommunications program materials; supporting low-income postbaccalaureate students through outreach programs, academic support services, mentoring, and student financial assistance; supporting faculty development, exchanges, and research, as well as curricular development and academic instruction; the creation or improvement of facilities for Internet or other distance education technologies; and collaboration with other IHEs to expand postbaccalaureate offerings. Other activities related to the promotion of postbaccalaureate study at HSIs are permissible, provided that they contribute to the overall purpose of the program and are approved by the Department.

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Funding levels for the Aid for HSI programs for the past 5 fiscal years were:

Fiscal year	(dollars in thousands)
2012.....	220,943 <sup>1</sup>
2013.....	209,532 <sup>2</sup>
2014.....	210,900 <sup>3</sup>
2015.....	201,923 <sup>4</sup>
2016.....	210,666 <sup>5</sup>

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<sup>1</sup> Includes \$111,500 thousand in mandatory funds provided under the HEA.

<sup>2</sup> Includes \$105,814 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$103,472 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$92,700 thousand in mandatory funds provided under the HEA.

<sup>5</sup> Includes \$93,200 thousand in mandatory funds provided under the HEA.

### FY 2017 BUDGET REQUEST

The Administration requests \$107.8 million in fiscal year 2017 for the Developing Hispanic-serving Institutions (HSIs) program and \$9.7 million for the Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA) program, the same as the 2016 level. In addition, mandatory funding totaling \$100 million is provided for the HSI STEM and Articulation (HSI-STEM) program under Title III, Part F of the HEA. The mandatory funds are not part of the Department's fiscal year 2017 request.

Approximately \$12.5 million in discretionary funds for the Developing HSIs program will support new awards, either through a new competition or by funding down the 2015 slate. The remaining \$95 million will support non-competing continuations. The Department plans to fund down the 2015 slate in fiscal year 2016. In fiscal year 2015, the Department gave absolute preference to projects that focused on increasing postsecondary completion, and gave competitive preference to projects that supported high-quality online or hybrid learning opportunities; and improved student support services.

Given the key role that the institutions supported by the Title V programs serve in providing postsecondary educational opportunities to low-income, first-generation and minority students, it is important that Title V funds are used in ways that are proven to improve student outcomes, especially completion. For this reason, as with other higher education programs, the Department is placing an emphasis on promoting evidence-based practices in the Title V programs. For the fiscal year 2015 Developing HSIs competition, applicants were assessed on the extent to which they planned to implement strategies based on a strong evidentiary theory of success. For the fiscal year 2016 HSI STEM competition, the Department is including priorities to target funds to evidence-based, student-centered activities designed to promote college completion while encouraging rigorous project evaluations. The Department plans to continue targeting funds to evidence-based practices in fiscal year 2017.

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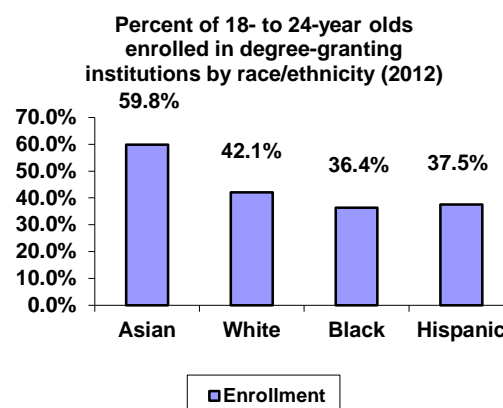
All of the 2017 funds for the PPOHA and the Mandatory HSI STEM and Articulation programs will support non-competing continuations.

In 2014, there were 55 million Hispanics in the US, constituting 17 percent of the total U.S. population. More than half the growth in the total US population between 2000 and 2010 was due to the increase in the Hispanic population. The Census Bureau projects that the Hispanic American population will reach nearly 30 percent of the overall population by 2060.

Hispanic Americans have made significant gains in education over the last several decades but still trail their peers. The increase in Hispanic enrollment is being driven by population growth and by increasing proportions of the population enrolling in colleges and universities. In 1976, approximately 383,800 Hispanic Americans attended degree-granting institutions of higher education. Since then, Hispanic enrollment has grown steadily, reaching 3.1 million in 2013. In 1976, Hispanics represented 3.7 percent of the undergraduate enrollment; in 2013, they represented 16.4 percent of undergraduate enrollment and 21 percent of all students enrolled in 2-year institutions. The enrollment of Hispanics in degree-granting postsecondary institutions increased 3.7 percent from 2012 to 2013, compared to a decrease of 1.3 percent for the general population. Among all minority groups, Hispanics now have the largest number of students enrolled in postsecondary education.

Although the number of Hispanic students enrolled in postsecondary education has increased, enrollment rates and degree attainment remain lower than many of their non-Hispanic peers. In 2012, 37.5 percent of all Hispanics in the age group 18-24 years were enrolled in degree-granting institutions, compared to 59.8 percent of Asian peers, 42.1 percent of all non-Hispanic White peers, and 36.4 percent of Black peers (see graph). In 2011-2012, Hispanics earned 9.8 percent of bachelor's degrees, 7.7 percent of master's degrees, and 6.1 percent of PhDs awarded in the United States despite constituting nearly 17 percent of the total national population.

The Aid for Hispanic-serving Institutions programs provide critical support for activities designed to improve the educational outcomes at institutions with a significant share of low-income, Hispanic, and other minority students. HSIs enroll 16 percent of all postsecondary students and approximately 60 percent of all Hispanic undergraduates. Because of the unique role these institutions play in providing postsecondary opportunities for Hispanic students, they are vital to the improvement of Hispanic Americans' educational attainment. The 2017 request, combined with the mandatory funding available through Title III, Part F of the HEA, is intended to support student achievement at HSIs by improving outcomes for Hispanic and low-income students.



## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Developing HSIs</b>			
Number of new awards	96	31	24
Average new award	\$532	\$518	\$512
Total new award funding	\$51,067	\$16,069	\$12,475
Number of NCC awards	82	165	176
Average NCC award	\$597	\$556	\$523
Total NCC award funding	\$48,977	\$91,726	\$95,320
Peer review of new award applications	\$187	0	0
Total award funding	\$100,231	\$107,795	\$107,795
Total number of awards	178	196	200
<b>Promoting Postbaccalaureate Opportunities for Hispanic Americans</b>			
Discretionary funding:			
Number of NCC awards	19	19	19
Average NCC award	\$473	\$509	\$509
Total NCC award funding	\$8,992	\$9,671	\$9,671
<b>HSI STEM and Articulation Programs</b>			
Mandatory funding:			
Number of new awards	0	109	0
Average new award	0	\$842	0
Total new award funding	0	\$91,773 <sup>1</sup>	0
Number of NCC awards	109	0	109
Average NCC award	\$851	0	\$855
Total NCC award funding	\$92,800 <sup>1</sup>	0	\$93,200 <sup>1</sup>
Peer review of new award applications	0	\$927 <sup>1</sup>	0
Total HSIs award funding	\$202,023	\$209,239	\$210,666
Discretionary	\$109,223	\$117,466	\$117,466
Mandatory	\$92,800 <sup>1</sup>	\$91,773 <sup>1</sup>	\$93,200 <sup>1</sup>
Total number of HSI awards	306	324	328

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<sup>1</sup> These figures represent obligations made using funds appropriated in the previous fiscal year, as allowed by section 371(b)(1)(B) of the HEA.

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### Aid for Hispanic-serving institutions

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information for grantees, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

**Goal:** To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.

**Objective:** Increase the enrollment, persistence, and graduation rates at grantees from Hispanic-Serving Institutions.

**Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolling at HSIs receiving grants under this program.

Year	Target	Actual
2008		11.2%
2013	11.0%	27.1
2018	TBD	

**Additional Information:** The Department recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure, established in fiscal year 2009, uses the same National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree-seeking undergraduate students used by the antecedent measure except that the new measure tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. Student enrollment at HSIs in 2008 (860,424) was used to calculate the percentage change against student enrollment at HSIs in the base year 2003 (773,859). The target of 11 percent for 2013 was used to assess success for the 5-year grant period 2008-2012 and was developed in late 2008. Over the 5-year grant period of the 2008 grantee institutions, enrollment grew by 27.1 percent, exceeding the 11.0 percent target. The Department will set a new target for 2018 in spring 2016.

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**Persistence Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 4-year HSI grantees who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HSI.

**Persistence Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students at 2-year HSI grantees who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HSI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	78.0%	75.0%	64.0%	66.0%
2013	78.0	75.5	65.0	65.0
2014	78.0	78.0	65.0	65.0
2015	78.5	79.0	66.0	65.0
2016	78.5		66.0	
2017	79.0		66.0	

**Graduation Measure (4-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HSI grantees graduating within 6 years of enrollment.

**Graduation Measure (2-year):** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HSI grantees graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2012	46.0%	39.0%	22.0%	21.0%
2013	46.0	42.0	22.0	21.0
2014	46.0	46.0	22.0	22.0
2015	46.5		22.5	
2016	46.5		22.5	
2017	47.0		23.0	

**Additional Information:** The data are derived from grantees' electronic annual performance reports and the NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

**Objective:** *Improve the year-to-year increase in enrollment and graduation rates in postbaccalaureate programs at Hispanic-serving institutions.*

**Measure:** The percentage change, over the 5-year grant period, of the number of graduate and professional students enrolled at HSI grantee institutions.

Year	Target	Actual
2013	2.5%	-3.3%
2018	TBD	

**Additional Information:** The long-term measure for change in enrollment assesses the percentage change in enrollment at the grantee institutions over a 5-year period. For 2013, the measure was calculated as the percentage change in the number of graduate students enrolling at the grantee institutions, using the 2008 baseline of 121,486 students. During the previous

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5 years, 2003-2008, enrollment at these same institutions declined. However, in 2009, the enrollment at the 22 grantee institutions increased by 1.3 percent over the prior year. This rate of growth was used to establish the 2013 enrollment target. In 2013, the total graduate enrollment at grantee institutions was 117,445, a 3.3 percent decrease from 2008. The Department plans to reconsider the target for 2018 in spring 2016.

**Measure:** The percentage change, over the 5-year grant period, of the number of master's, doctoral and first-professional degrees and postbaccalaureate certificates awarded at HSI grantee institutions.

Year	Target	Actual
2013	20.0%	63.0%
2018	TBD	

**Additional Information:** The long-term measure for change in graduate degrees assesses the percentage change in degrees and certificates awarded over a 5-year period. For 2013, the measure was calculated as the percentage change in the number of degrees and certificates awarded at the grantee institutions. The change from 2008 to 2013 was 63 percent, based on a 2008 baseline of 18,108 degrees and certificates and the 29,580 degrees and certificates in 2013. The Department plans to establish a new target for 2018 in spring 2016.

### Efficiency Measures

**Developing HSIs:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at HSI grantee institutions.

Year	Target	Actual
2012	\$950	\$669
2013	1,280	571
2014	1,265	453
2015	1,250	
2016	1,235	
2017	1,220	

**Additional Information:** The Developing Hispanic-serving Institutions efficiency measure is calculated by dividing the appropriation for the Developing HSIs program by the number of undergraduate and graduate degrees awarded. The Department established targets of \$950 per successful outcome for fiscal years 2009 through 2012. Fiscal year 2014 data show a marked increase in efficiency since 2012, but efficiency has varied considerably since 2008. This variability is due, in large part, to the fact that success is defined as a bachelor's degree or higher, while many of the 2-year institutions of higher education receiving grants primarily award associate's degrees. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as to identify promising practices for improving program performance outcomes. The Department will reconsider targets in 2016.

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**Promoting Postbaccalaureate Opportunities for Hispanic Americans:** Cost per successful outcome: Federal cost per master's, doctoral and first-professional degree and postbaccalaureate certificate at HSI grantee institutions.

Year	Target	Actual
2012	\$2,215	\$693
2013	2,215	701
2014	2,215	816
2015	2,215	
2016	TBD	
2017	TBD	

**Additional Information:** The PPOHA efficiency measure is calculated by dividing the appropriation for the PPOHA program by the number of graduate degrees and certificates awarded at grantee institutions. In fiscal year 2014, when PPOHA obligations totaled \$19.5 million, grantee institutions awarded 23,857 graduate degrees. Grantees have outperformed the initial targets, which were set based on eligible institutions. The Department plans to establish more ambitious targets for 2016 and beyond.

The PPOHA efficiency measure can also be used to assess overall program performance over time. A similar efficiency measure was established for the Title III Aid for Institutional Development programs as well as for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions.

The HSI STEM and Articulation program was initially funded by the College Cost Reduction and Access Act (CCRAA). Because CCRAA funding was available for only 2 years, the Department did not establish any performance measures for the program at that point. The passage of Public Law 111-152 (in March 2010) extended the mandatory funding for the HSI STEM program through fiscal year 2019. The following performance and efficiency measures have been put into place and some data have been collected. The Department plans to establish targets for these measures in spring 2016:

- The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSI grantee institutions.
- The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution. The persistence rate at grantee institutions was 71 percent in 2013 and 2014.
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HSI grantee institutions graduating within 6 years of enrollment. The 6-year graduation rate at grantee institutions was 45 percent in 2014 and 44 percent in 2013.
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HSI grantee institutions graduating within 3 years of enrollment. The 3-year graduation rate at grantee institutions was 21 percent in 2013 and 2014.



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- Federal cost for undergraduate and graduate degrees at institutions in the Hispanic-Serving Institutions STEM and Articulation Programs. In 2014, the Federal cost per degree was \$686.

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### HBCU and minority-serving institutions innovation for completion fund

(Proposed legislation)

(dollars in thousands)

FY 2017 Authorization: To be determined

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
0	\$30,000	+\$30,000

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### PROGRAM DESCRIPTION

The Historically Black Colleges and Universities (HBCU) and Minority-Serving Institutions (MSIs) Innovation for Completion Fund, a proposed new competitive grant program, is designed to support innovative and evidence-based, student-centered strategies and interventions to increase the number of low-income students completing degree programs at HBCUs and MSIs, including Hispanic-Serving Institutions, Predominantly Black Institutions, Tribally Controlled Colleges and Universities, Alaska Native and Native Hawaiian-Serving Institutions, Asian American and Native American Pacific Islander-Serving Institutions, and Native American-Serving Nontribal Institutions. These institutions enroll a significant and disproportionate share of individuals from underserved populations, including students of color, low-income students, and first-generation college students, among others.

Under this program, the Department would award 4-year discretionary grants competitively to HBCUs and MSIs based on the quality of the proposals, including the likelihood that they would effectively replicate evidence-based interventions with fidelity and result in improved student outcomes, including increased numbers of Pell Grant recipients completing postsecondary education. To qualify as an eligible HBCU or MSI under this new initiative, an institution of higher education must have current eligibility approval as defined by the Department's fiscal year 2016 eligibility process for Title III and/or Title V of the Higher Education Act of 1965, as amended; an open grant under one of the Department's Title III, Parts A and F and/or Title V programs; or a designation as a Historically Black College or University or a Tribally Controlled College or University.

Applicants will describe how their proposed innovations will improve college success, especially for underserved students, as well as the evidence of their proposed strategies and interventions. Priority will be given to applicants that commit to leveraging other Federal funding, especially funding provided under Titles III and V, to complement and support the activities proposed under this program. In addition, priority will be granted to strategies and interventions for which there is strong or moderate evidence of effectiveness. Aligning these resources toward the

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### **HBCU and minority-serving institutions innovation for completion fund**

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implementation of innovative, evidence-based interventions and strategies will promote a comprehensive campus-wide approach and contribute to successful implementation and outcomes.

To make substantial gains in increasing college attainment among low-income students and students of color across the Nation, it is essential to promote innovative, evidence-based strategies and interventions that can help address the unique challenges faced by students enrolled at HBCUs and MSIs and enhance institutional performance. Building on evidence of what works is essential as institutions seek new ways to improve student outcomes and achieve greater fiscal health and stability over time. For these reasons, the HBCU and MSI Innovation for Completion Fund will focus on investing in and building capacity to implement strategies and interventions that have been shown to be effective in helping student's complete college and that may be adapted to work in a wide variety of institutional settings. For example, through the Accelerated Study in Associate Programs (ASAP) at the City University of New York, three 2-year MSIs were shown, in an independent evaluation, to have succeeded in nearly doubling their graduation rates. Additional information on evidence-based approaches regarding college completion can be obtained at: <https://ies.ed.gov/ncee/wwc/default.aspx>.

In addition, to further build evidence of what works, particularly in HBCU and MSI settings, this new program will require rigorous project evaluations to assess the effectiveness of such innovative strategies and interventions, and promote the dissemination of best practices.

Institutions would be able to apply individually or in consortia and would have to establish performance goals for the duration of the grant (4 years). Continuation funding would be conditional upon successful progress toward those goals. Funding would be used to replicate and implement evidence-based strategies and interventions, as well as for evaluation, continuous improvement, and dissemination.

### FY 2017 BUDGET REQUEST

The Administration requests \$30 million for a new HBCU and MSI Innovation for Completion Fund initiative. Funds would provide support to institutions to implement innovative and evidence-based, student-centered strategies and interventions to increase the number of low-income students and students of color completing degree programs at HBCUs and minority-serving institutions.

The request includes appropriations language that would authorize this new initiative.

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### International education and foreign language studies: Domestic programs

(Higher Education Act of 1965, Title VI, Parts A and B)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$65,103	\$65,103	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Domestic Programs are designed to strengthen the capability and performance of American education in foreign languages and in area and international studies. The IEFLS programs originated in the National Defense Education Act of 1958, as a response to the need to strengthen instruction in the areas of international studies and foreign languages that were insufficiently taught in the United States. Often using interdisciplinary approaches, these programs have adapted over time in ways that are responsive to the on-going need for a globally competent workforce with expertise in world languages and area studies.

Funds are used to support a broad range of activities under nine Domestic Programs, at all levels, including primary and secondary education through a variety of K-12 outreach and teacher training collaborations. Grants are awarded to institutions of higher education (IHEs) to support centers, programs, and fellowships to increase the number of experts in foreign languages and area or international studies to meet national needs and to strengthen the teaching of foreign languages and international education at all levels. Prior to the beginning of each grant cycle, the Department must consult with and receive recommendations from the head officials of a wide range of Federal Agencies to determine the areas of national need for expertise in foreign languages and world regions, and make this list available to grant applicants. In addition, the Department must work with a variety of Federal Agency heads to submit a biennial report to Congress and the public identifying areas of national need in foreign language, area, and international studies as such studies relate to government, education, business, and nonprofit needs, and a plan to address those needs (<http://www2.ed.gov/programs/iegpsflasf/legislation.html>).

In awarding grants, the Department is required to take into account the degree to which applicants' activities address national needs and inform the public; the applicants' records of placing students into postgraduate employment, education, or training in areas of national need;

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### **International education and foreign language studies: Domestic programs**

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and the applicants' plans to increase this number. Emphasis is placed on languages and regions defined as high-priority by the Administration.

The Department assists grantees in developing a survey for students who have completed programs under Title VI Foreign Language and Areas Studies program to determine postgraduate employment, education, or training. Grantees must administer the survey once every 2 years for a period of 8 years and report the results to the Department. Up to 1 percent of Title VI funds may be used to carry out program evaluation, national outreach, and information dissemination activities relating to the Title VI programs.

The program authorization requires that institutions that receive funding under Title VI provide the following information to the Department, in accordance with the requirements of Section 117 of the HEA: (1) the amount of the contribution (including cash and the fair market value of any property) received from any foreign government or from a foreign private sector corporation or foundation during any fiscal year in which the contribution exceeds \$250,000 in the aggregate; and (2) the aggregate contribution, or a significant part of the aggregate contribution, that is to be used by a center or program receiving funds under Title VI.

National Resource Centers support IHEs or consortia of such institutions in establishing, operating, and strengthening comprehensive undergraduate centers of excellence to train students, specialists, and other scholars; maintaining important library collections and related training and research facilities; conducting advanced research on issues on world affairs that concern one or more countries; establishing linkages between IHEs and other academic, governmental, and media entities; operating summer institutes in the United States or abroad; and providing outreach and consultative services at the national, regional, and local levels. Funds also support faculty, staff, and student travel in foreign areas, regions, or countries; the development and implementation of educational programs abroad for students; and projects that support students in the science, technology, engineering, and mathematics fields to achieve foreign language proficiency. National Resource Centers are funded for up to 4 years, with funds allocated on an annual basis pending satisfactory performance by the Centers and availability of funds.

Foreign Language and Area Studies Fellowships Program supports academic year and summer fellowships for graduate- and undergraduate-level training at IHEs offering high quality performance-based programs of excellence. Students apply to IHEs that have received fellowship allocations from the Department of Education. To be eligible for fellowships, students must be:

- In an instructional program with stated performance goals for functional foreign language use or in a program developing such performance goals, in combination with area studies, international studies, or the international aspects of a professional studies program;
- In the case of an undergraduate student, in the intermediate or advanced study of a less commonly taught language; or
- In the case of a graduate student, in graduate study in connection with a program described above, including pre-dissertation level study, preparation for dissertation research, dissertation research abroad, or dissertation writing.

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Before awarding a fellowship for use outside the United States, an institution must obtain approval from the Department of Education. A fellowship may be approved for use outside the United States if: (1) the student is enrolled in an overseas modern foreign language program approved by the institution where the student is enrolled in the United States; or (2) the student is engaged in research that cannot be effectively done in the United States and is affiliated with an IHE or other appropriate organization in the host country. Institutions are funded for up to 4 years and, in turn, award fellowships annually to individual students on a competitive basis.

Applications for awards must include an explanation of how the activities funded by the grant will reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs; and a description of how the applicant will encourage government service in areas of national need, as well as in areas of need in the education, business, and nonprofit sectors.

Undergraduate International Studies and Foreign Language Program supports IHEs or consortia of IHEs in establishing, operating, and strengthening instructional programs in international studies and foreign language at the undergraduate level. Eligible activities may include, but are not limited to, the development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and programs in corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and pre-professional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs.

Grantees must provide matching funds in either of the following ways: (1) cash contributions from the private sector equal to one-third of the total project costs; or (2) a combination of institutional and non-institutional cash or in-kind contributions equal to one-half of the total project costs. Applications for awards must include a description of how the applicant will provide information to students regarding federally funded scholarship programs in related areas; an explanation of how the activities funded by the grant will reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs, where applicable; and a description of how the applicant will encourage service in areas of national need, as identified by the Department of Education.

The Department may waive or reduce the required matching share for institutions that are eligible to receive assistance under Part A or Part B of Title III or Title V of the Higher Education Act of 1965. Grant awards are normally made for 2 years. However, organizations, associations, and institutional consortia are eligible for up to 3 years of support.

Centers for International Business Education support IHEs or consortia of IHEs by paying the Federal share of the cost of planning, establishing, and operating centers that provide a comprehensive university approach to improving international business education by bringing together faculty from numerous disciplines. The Centers serve as national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign

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### **International education and foreign language studies: Domestic programs**

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languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as resources to local businesses and chambers of commerce by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education and K-12 schools with additional teacher and student outreach programs located within their respective regions. Grants are made for 4 years. The Federal share of the cost of planning, establishing, and operating the Centers cannot exceed 90 percent, 70 percent, or 50 percent in the first, second, third and following years, respectively.

Language Resource Centers support IHEs or consortia of IHEs in improving the teaching and learning of foreign languages. The activities carried out by the Centers must include effective dissemination efforts, whenever appropriate, and may include: the conduct and dissemination of research on new and improved teaching methods (including the use of advanced educational technology) to the education community; the development, application, and dissemination of performance testing appropriate to an educational setting for use as a standard and comparable measurement of skill levels in all languages; the training of teachers in the administration and interpretation of the performance tests; a significant focus on the teaching and learning needs of the less commonly taught languages and the publication and dissemination of instructional materials in those languages; the development and dissemination of materials designed to serve as a resource for foreign language teachers at the elementary and secondary school levels; and the operation of intensive summer language institutes. Language Resource Centers are eligible for up to 4 years of support.

American Overseas Research Centers Program makes grants to consortia of IHEs to promote postgraduate research, faculty and student exchanges, and area studies. Funds may be used to pay for all or a portion of the cost of establishing or operating a center or program. Costs may include faculty and staff stipends and salaries; faculty, staff, and student travel; operation and maintenance of overseas facilities; teaching and research materials; the acquisition, maintenance, and preservation of library collections; travel for visiting scholars and faculty members who are teaching or conducting research; preparation for and management of conferences; and the publication and dissemination of material for the scholars and general public. Centers are eligible for 4 years of support.

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### International education and foreign language studies: Domestic programs

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Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$66,586
2013.....	63,103
2014.....	65,103
2015.....	65,103
2016.....	65,103

### FY 2017 BUDGET REQUEST

The Administration requests a total of \$65.1 million in fiscal year 2017 for the Title VI Domestic Programs, the same as the 2016 level. The fiscal year 2017 request for the Domestic Programs is responsive to the 2017 White House Global Engagement Resource Guidance and the Department's International Strategy. The Global Engagement Guidance urges agencies to realign resources toward Sub-Saharan Africa and the Asia Pacific region, while investing in strategies to counter misinformation, maintain a strong presence in the Middle East, North Africa, and the Russian periphery and fulfill the potential of the *100,000 Strong in the Americas* initiative.

In order to promote U.S. higher education abroad and prepare U.S. students for global engagement, agencies are urged to expand international university partnerships and to deepen efforts that help students acquire an understanding of global issues, knowledge of other countries, cultures, and perspectives, and linguistic proficiency, as well as to prepare educators at all levels to teach about the rest of the world. In promoting study abroad and other international experiences, agencies are encouraged to pay special attention to underserved and underrepresented communities. The Department will strengthen and enhance the Domestic Programs in line with these priorities. The fiscal year 2017 request for the Title VI Domestic Programs will, among other things, provide continued support for activities that help to make world language and area studies education accessible to a much broader population of Americans, and ensure that these programs deliver high levels of proficiency in the languages key to the Nation's economic and national security.

Historically, the Domestic Programs have helped to develop and maintain American expertise in world cultures and economies, and foreign languages. It is critical for our Nation to have a readily available pool of international area and language experts for economic, foreign affairs, and defense purposes. The Title VI programs are key to the teaching and learning of languages vital to national interests and serve as a national resource.

The Administration also believes our Nation needs citizens with a global perspective. The ability to compete and collaborate on the world stage requires an awareness and understanding of the world, the ability to communicate and collaborate with others from different cultures, and exposure to foreign languages. The Administration believes that a world-class education must integrate global competencies and is committed to increasing the skills and knowledge of all United States students. Effective global engagement will involve American students and equip



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### **International education and foreign language studies: Domestic programs**

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them with the knowledge, skills and awareness of other countries, cultures, languages and perspectives. Boosting the number of students with global competencies supports U.S. economic competitiveness, increases access to a wider range of jobs, enables young people to work with their counterparts all over the world in meeting global challenges, and fosters national security and diplomacy. The Administration believes that American students and teachers of all ages would benefit significantly from partnering with students and faculty abroad—especially in priority countries—through connected classrooms, joint research projects, and exchanges.

The fiscal year 2017 request will be used to support continuation costs for Title VI program evaluation, national outreach, and information dissemination activities; and grants awarded in prior fiscal years for Domestic Programs—National Resource Centers (NRCs), Centers for International Business Education (CIBE), Language Resource Centers (LRCs), FLAS fellowships, and Undergraduate International Studies and Foreign Language (UISFL).

Fiscal year 2017 funding will be used to reinforce Administration objectives by supporting the continuation of grants focusing on priority languages vital to national interests; strengthening the capacity of under-resourced institutions, minority-serving institutions, and community colleges; strengthening the preparation of K-12 teachers to teach world languages and about other regions of the world; and taking financial need into account in awarding FLAS grants to meritorious students. The fiscal year 2017 funding for the Domestic Programs would be allocated as follows:

**\$22.7 million for NRCs:** NRCs are the primary mechanism for developing U.S. language and area studies expertise. These grants help IHEs to establish, strengthen, and operate advanced centers for the teaching and learning of foreign languages and area and international studies. Fiscal year 2017 funds are needed to continue support for activities that help to promote a globally competent workforce, in addition to producing our next generation of experts. Fiscal year 2017 is the final year of funding for grantees from the 2014 cohort.

**\$30.8 million for FLAS fellowships:** FLAS fellowships support undergraduate and graduate training programs at many NRCs. They provide opportunities for intensive study of less commonly taught languages and world areas both domestically and abroad during the summer or the academic year. For fiscal year 2017, funding for FLAS would be maintained at the same level allocated in fiscal year 2016. When awarding fellowships, competitive preference will be given to students who demonstrate financial need. In addition, the Administration will encourage institutions to award academic year FLAS fellowships to students undergoing advanced training in any of the priority languages used in sub-Saharan Africa, South Asia, and Southeast Asia.

**\$2.9 million for UISFL program:** For the UISFL program, the Administration proposes to continue support for activities that strengthen and improve undergraduate instruction in international studies and foreign languages with preference for under-resourced institutions and minority-serving institutions. Fiscal year 2017 is the final year of funding for grantees from the 2014 cohort.

## HIGHER EDUCATION

### **International education and foreign language studies: Domestic programs**

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\$4.6 million for CIBEs: The Administration proposes to maintain funding at the 2016 level for the CIBE program. CIBEs are designed to serve as regional and national resources for businesses, students, and faculty at all levels. They meet the need for research and training in the international aspects of trade, commerce, and other fields of study. CIBEs prepare students for careers in the global economy by developing and promoting international business and economics academic programs and curricula. They also assist businesses in various world regions export and import their products and services. CIBEs play an integral role in maintaining and increasing U.S. business global competitiveness. The Administration has encouraged applicants in this program to develop, maintain, or enhance linkages with overseas IHEs or other educational organizations, especially those that focus on sub-Saharan Africa, South Asia, and Southeast Asia, in order to improve understanding of these societies and provide for greater engagement with institutions in these regions. Fiscal year 2017 is the final year of funding for grantees from the 2014 cohort.

\$2.7 million for LRCs: To strengthen capacity across institutions and at all levels, the Administration proposes to continue support of LRCs to improve outreach efforts to K-12 schools, in addition to sponsoring research, training, performance testing, educational technology, and materials development. In fiscal year 2014, the Administration awarded a new cohort of institutions, with priority given to applications from institutions that collaborate with institutions determined eligible for funding under Titles III and V of the HEA and to other under-resourced institutions such as community colleges; and to applicants that proposed activities focusing on any of the 78 priority languages selected from the Department's list of Less Commonly Taught Languages (LCTLs). Fiscal year 2017 is the final year of funding for grantees from the 2014 cohort.

\$650,000 for AORCs: The Administration requests \$650,000 to support new awards for American Overseas Research Centers (AORCs). This program provides grants to American overseas research centers that are consortia of U.S. institutions of higher education. The overseas centers must be permanent facilities in the host countries or regions, established to provide logistical and scholarly assistance to American postgraduate researchers and faculty. Typically, the area studies or international studies research focuses on the humanities or social sciences. Through a variety of grant activities, conferences, and publications, each overseas center facilitates research that is necessary for increased understanding of a foreign culture.

This 2017 budget request for the Domestic Programs responds to the Global Engagement Guidance by expanding opportunities for traditionally underserved populations to participate in language learning and international education and by supporting the preparation of educators to teach about the rest of the world. In addition, this request helps to fill two key gaps in the Department's international and foreign language pipeline: 1) language and career development programs at the undergraduate level, particularly for a broader population of students, and; 2) cross-border architecture to support student and researcher mobility in the Administration's priority regions of Southeast Asia and Sub-Saharan Africa.

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>National Resource Centers:</b>			
Number of NCC awards	105	105	105
Average NCC award	\$217	\$217	\$217
Total NCC award funding	\$22,743	\$22,743	\$22,743
Total award funding	\$22,743	\$22,743	\$22,743
Total number of awards	105	105	105
<b>Foreign Language and Area Studies Fellowships:</b>			
Academic year graduate fellowships	666	666	666
Average academic year fellowship	\$33	\$33	\$33
Academic year undergraduate fellowships	294	295	295
Average academic year fellowship	\$15	\$15	\$15
Summer fellowships	590	590	590
Average summer year fellowship	\$8	\$8	\$8
Number of NCC awards	108	108	108
Average NCC award	\$287	\$285	\$285
Total NCC award funding	\$31,047	\$30,830	\$30,830
Total award funding	\$31,047	\$30,830	\$30,830
Total number of awards	108	108	108
<b>Undergraduate International Studies and Foreign Language Program:</b>			
Number of new awards	0	26	0
Average new award	0	\$87	0
Total new award funding	0	\$2,257	0
Number of NCC awards	31	5	26
Average NCC award	\$94	\$134	\$112
Total NCC award funding	\$2,928	\$671	\$2,911
Total award funding	\$2,928	\$2,928	\$2,911
Total number of awards	31	31	26

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Centers for International Business Education:</b>			
Number of NCC awards	17	17	17
Average NCC award	\$269	\$269	\$269
Total NCC award funding	\$4,571	\$4,571	\$4,571
Total award funding	\$4,571	\$4,571	\$4,571
Total number of awards	17	17	17
<b>Language Resource Centers:</b>			
Number of NCC awards	16	16	16
Average NCC award	\$172	\$172	\$172
Total NCC award funding	\$2,747	\$2,747	\$2,747
Total award funding	\$2,747	\$2,747	\$2,747
Total number of awards	16	16	16
<b>American Overseas Research Centers:</b>			
Number of new awards	0	10	0
Average new award	0	\$65	0
Total new award funding	0	\$650	0
Number of NCC awards	7	0	10
Average NCC award	\$93	0	\$65
Total NCC award funding	\$650	0	\$650
Total award funding	\$650	\$650	\$650
Total number of awards	7	10	10
<b>Total award funding:</b>			
Total new award funding	0	\$2,907	0
Total NCC award funding	\$64,686	\$61,562	\$64,452
<b>Program evaluation, national outreach, and information dissemination</b>			
	\$417	\$551	\$651
<b>Peer review of new award applications</b>			
	0	\$83	0
<b>Total Domestic funding</b>	\$65,103	\$65,103	\$65,103
<b>Total Domestic awards</b>	284	287	282

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

Over the past year, the Department revised the performance measures for the International Education and Foreign Language Studies programs authorized under Title VI of the Higher Education Act of 1965, as amended, and the Mutual Educational and Cultural Exchange Act of 1961 (commonly known as the Fulbright-Hays Act). The new measures utilize higher quality data, and are designed to increase transparency and accountability for the IEFLS programs. The new performance measures are aligned to the institutional-level goals of the programs they serve.

Previous performance measures that calculated the percentage of “projects judged successful by the program officer, based on a review of information provided in annual performance reports,” “outreach activities adopted or disseminated within a year,” and “cost per high-quality successfully-completed project” have been retired, as they did not provide enough useful data on which to judge program performance.

Fiscal year 2014 data will be used to establish baseline data for the new measures, and the Department expects baseline to be available in early 2016. Targets are expected to be set beginning in early 2016. Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs.

The Department intends to use the following new performance measures:

##### NRCs:

- Percentage of priority languages defined by the Department of Education taught at NRCs.
- Percentage of NRC grants teaching intermediate or advanced courses in priority languages as defined by the Department of Education.
- Percentage of NRCs that increased the number of intermediate or advanced level language courses in the priority and/or LCTLs during the course of the grant period (long-term measure).
- Percentage of NRCs that increased the number of certificate, minor, or major degree programs in the priority and/or LCTLs, area studies, or international studies during the course of the 4-year grant period.
- Percentage of less and least commonly taught languages as defined by the Department of Education taught at Title VI NRCs.

##### FLAS:

- Percentage of FLAS graduated fellows who secured employment that utilizes their foreign language and area studies skills within 8 years after graduation based on FLAS tracking survey.

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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- Percentage of FLAS master's and doctoral graduates who studied priority languages as defined by the Department of Education.
- Percentage of FLAS fellows who increased their foreign language reading, writing, and/or listening/speaking scores by at least 1 proficiency level.

#### UISFL:

- Percentage of UISFL projects that added or enhanced courses in international studies in critical world areas and priority foreign languages.
- Percentage of UISFL consortium projects that established certificates and/or undergraduate degree programs in international or foreign language studies.

#### CIBE:

- Percentage of CIBE program participants who advanced in their professional field 2 years after their participation.
- Percentage of CIBE projects that established or internationalized a concentration, degree, or professional program with a focus on or connection to international business over the course of the CIBE grant period. (long-term measure).
- The percentage of CIBE projects whose business industry participants increased export business activities.

#### LRC:

- Percentage of LRC products or activities judged to be successful by LRC customers with respect to quality, usefulness, and relevance.
- Percentage of LRC products judged to be successful by an independent expert review panel with respect to quality, relevance, and usefulness.

#### AORC:

- Number of individuals conducting postgraduate research utilizing the services of Title VI AORCs.
- Percentage of AORCs program participants who advanced in their professional field 2 years after their participation.

### Efficiency Measures

The Department intends to use the following new efficiency measures:

- Cost per NRC that increased the number of intermediate or advanced level language courses in the priority and/or LCTL s during the course of the grant period.
- Cost per FLAS fellowship program fellow who increased his/her reading, writing, and/or listening/speaking language score by at least one proficiency level.

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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- Cost per CIBE doctoral or Master's graduate employed in international business-related fields, including teaching in a business school or program within 8 years after graduation as measured by the International and Foreign Language Education (IFLE) Tracking Survey.
- Cost per LRC project that increased the number of training programs for K-16 instructors of LCTLs.

Efficiency measures for the remaining Domestic Programs have not been finalized.

#### Other Performance Information

- The Department awarded a contract in September 2014 to support the development of a comprehensive program evaluation strategy (5-year plan) for the HEA Title VI programs and the Fulbright-Hays programs. The Department believes evaluation, outreach and dissemination activities that are skillfully designed and implemented will contribute to improving the outcomes of Title VI and Fulbright-Hays programs and increase the impact of these programs in meeting their legislative purposes, thereby maximizing their service to the public.
- A number of studies have been conducted over the years to evaluate aspects of the Domestic Programs. A few are outlined below:
  - In 2007, the National Research Council of the National Academies completed its review of Title VI International Education programs supported under the Higher Education Act as well as Section 102(b)(6) Fulbright-Hays International Education programs in a study entitled "International Education and Foreign Languages: Keys to Securing America's Future." The National Research Council reviewed the adequacy and effectiveness of Title VI and Fulbright-Hays programs in addressing their statutory missions and in building the Nation's international and foreign language expertise—particularly as needed for economic, foreign affairs, and national security purposes. Despite its many recommendations for improvement, the Council recognized that the Title VI/Fulbright-Hays programs have served as a foundation in the internationalization of higher education and should continue to do so. The study is available at the following links: <http://www.nap.edu/catalog/11841/international-education-and-foreign-languages-keys-to-securing-americas-future> or [http://www.nap.edu/openbook.php?record\\_id=11841](http://www.nap.edu/openbook.php?record_id=11841).
  - A study of the Department's graduate fellowship programs was published in September 2008. The study was designed to provide information on academic and employment outcomes (as of 2006) of graduate students who received financial support through the Department's graduate fellowship programs between 1997 and 1999, including the Foreign Language and Area Studies (FLAS) fellowship program. The results of the study confirmed the validity of performance report data on employment outcomes and improvement in language competency. Data from the study indicate:
    - FLAS fellows studied a wide variety of languages. South Asian and East Asian languages were among the most common, studied by about one-third of FLAS fellows, and 35 percent of fellowships supported the study of a language spoken in

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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central Asia, the Middle East, or Africa. About 70 percent of fellowships supported the study of a critical foreign language as defined by the Department of Education.

- Students who received FLAS fellowships were highly likely to complete their degrees. Master's and first-professional degree students were far more likely (95-96 percent) than doctoral students (72 percent) to have completed their degrees at the time of the survey.
- Regardless of their degree completion status, FLAS fellows reported that their oral and written language skills improved over the course of their FLAS-supported study. At the time of the survey, FLAS fellows rated their abilities to speak, write, and read the languages they studied (speaking and listening were rated on a 5-point scale; reading and writing on a 6-point scale) with FLAS support both at the start and upon completing FLAS-supported study at a variety of levels. FLAS fellowship recipients averaged a one-level gain in proficiency. These data compare favorably to data collected through IRIS on Title VI FLAS fellowship recipients.
- Nearly all fellows (92 percent) worked after completing their fellowships, and a majority of fellows (71 percent) worked in jobs that involved expertise they had gained through their FLAS-supported study. Nearly all fellows who reported working in a related job considered that job to be part of a career they were pursuing.
- Among fellows who had held at least one job related to the field they had studied with FLAS support, three-quarters of fellows worked in education, one-fifth in a U.S. private sector job, and one-fifth in foreign or international jobs. About one in nine worked for the military or other Government positions.
- Of fellows who had worked for pay since completing the fellowship, 68 percent worked in a job in which teaching was a major responsibility. These fellows had taught for an average of 3 years at the time of the survey, and 86 percent of them had taught in a field related to the FLAS-supported study.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices.

While these findings are encouraging, it should be noted that the overall response rate—the proportion of fellowships for which a survey was completed—was less than 50 percent. In addition, the study does not offer data on outcomes for an appropriate comparison group due to limitations in the Department's data sources. Despite these limitations, the data indicate positive outcomes.



## HIGHER EDUCATION

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### International education and foreign language studies: Overseas programs

(Mutual Educational and Cultural Exchange Act of 1961, Section 102(b)(6))

(dollars in thousands)

FY 2017 Authorization: Infinite

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$7,061	\$2,168	-\$4,893

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### PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Overseas Programs provide participants with first-hand experience overseas that is designed to improve elementary, secondary, and postsecondary teaching and research concerning other cultures and languages, the training of language and area studies specialists, and the American public's general understanding of current international issues and problems.

Four major Overseas Programs in foreign languages and in area and international studies are authorized under the Mutual Educational and Cultural Exchange Act of 1961 (commonly known as the Fulbright-Hays Act). Under these programs, grants are provided on an annual basis to eligible institutions that, in turn, support projects of varying duration.

The Group Projects Abroad (GPA) program support short-term projects, group training, research, and curriculum development in modern foreign languages and area studies for teachers, college students, and faculty for periods from 1 to 12 months. In addition, the GPA program also supports Advanced Overseas projects that provide intensive language projects designed to take advantage of the opportunities in foreign countries by providing advanced language training to students for a period of up to 36 months. Projects can focus on all major world areas with the exception of Western Europe.

The Faculty Research Abroad (FRA) program supports opportunities for faculty members of institutions of higher education to study and conduct advanced research overseas. Fellowships are generally reserved for scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 3 to 12 months in length.

The Doctoral Dissertation Research Abroad (DDRA) program supports opportunities for doctoral candidates to engage in full-time dissertation research overseas. Fellowships are generally reserved for junior scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 6 to 12 months in length.

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

The Seminars Abroad (SA)—Special Bilateral Projects with foreign countries support training and curriculum development opportunities for American teachers and faculty through short-term overseas seminars conducted in all major world areas with the exception of Western Europe.

IEFLS programs are administered through discretionary grants and interagency agreements. Federal program staff, panels of non-Federal academic specialists, bi-national commissions, U.S. embassies, and the J. William Fulbright Foreign Scholarship Board are involved in the merit-based selection of the Overseas Programs grantees and/or project participants.

The Overseas Programs specifically increase the supply of specialists in area, international, and language studies, and improve public access to knowledge of other countries and languages by providing to individuals and institutions of higher education measurable opportunities in the field of international education for: research; area, language, and international studies training; professional growth including faculty development and teacher-training; networking with counterparts in the U.S. and abroad; curriculum and instructional materials development; and overseas experience.

The Overseas Programs focus on less commonly taught foreign languages and those areas of the world in which those languages are spoken. Emphasis is placed on languages and regions defined as high priority by the Administration. Current participants and graduates of the Overseas Programs are important sources of information and expertise on many issues that dominate the international environment.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$7,451
2013.....	7,061
2014.....	7,061
2015.....	7,061
2016.....	7,061

### FY 2017 BUDGET REQUEST

The Administration requests \$2.2 million for the Overseas programs in fiscal year 2017, a decrease of \$4.9 million or 69.3 percent below the fiscal year 2016 level. This level is sufficient to cover non-competing continuation awards. One of the Administration's priorities has been to enhance the International Education Domestic Programs. The Administration proposes to shift funds that would otherwise be used for new awards in the Overseas programs to support ongoing activities in the International Education Domestic Programs. The fiscal year 2017 request would allow for the continuation of projects in the Group Projects Abroad program that provide up to 3 years of advanced language training in foreign countries for its participants.

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Group Projects Abroad:</b>			
Short-Term Projects:			
Number of new projects	17	17	0
Average new project	\$80	\$80	0
Total new project funding	\$1,361	\$1,361	0
Advanced Overseas Projects:			
Number of new projects	0	10	0
Average new project	0	\$177	0
Total new project funding	0	\$1,771	0
Number of NCC projects	11	0	10
Average NCC project	\$173	0	\$185
Total NCC project funding	\$1,900	0	\$1,848
Total GPA project funding	\$3,261	\$3,072	\$1,841
Total number of GPA projects	28	27	10
Total number of GPA participants	412	395	200
<b>Doctoral Dissertation Research Abroad:</b>			
Number of new fellows	90	90	0
Average new fellowship	\$33	\$33	0
Number of new awards	35	35	0
Average new award	\$86	\$86	0
Total new award funding	\$3,012	\$3,012	0
<b>Seminars Abroad—Special Bilateral Projects:</b>			
Number of new seminars	1	3	0
China Contract	\$411	\$600	0
China Contract participants	16	48	0
<b>Department of State administrative costs</b>	\$250	\$190	\$250
<b>Program evaluation, national outreach, and information dissemination</b>	\$56	\$56	\$70
<b>Peer review of new award applications</b>	\$71	\$71	0
Total Overseas funding	\$7,061	\$7,061	\$2,168
Total Overseas participants	519	502	217

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

Over the past several years, the Department has been in the process of revising the program performance measures for the International Education and Foreign Language Studies (IEFLS) programs authorized under Title VI of the Higher Education Act of 1965, as amended, and the Mutual Educational and Cultural Exchange Act of 1961. The new performance measures, developed in fiscal year 2013, are designed to improve the quality of program-level outcome data, as well as to increase transparency and accountability for the IEFLS programs. Measures that did not provide useful data were eliminated. The new performance measures are aligned to the institutional-level goals of the programs they serve.

The Department intends to use the following program performance measures for the Overseas Programs. Data will be based on pre- and post-grant scores on standardized, instructor-led examinations.

- Percentage of DDRA fellows who increased their foreign language scores in speaking, reading, and/or writing by at least one proficiency level.
- Percentage of GPA participants in the Advanced Language Program who increased their reading, writing, and/or listening/speaking foreign language scores by one proficiency level (Long-Term Projects).

Fiscal year 2014 data will be used to establish a baseline for the new measures after it becomes available in early 2016. The Department will begin to consider targets later in 2016. Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs.

##### Efficiency Measures

The Department intends to use the following efficiency measures developed in 2013. Data will be collected from grantee institutions via their performance reports. Baseline data is expected to be available in early 2016.

- Cost per DDRA fellow who found employment that utilized their language and area studies skills within 8 years.
- Cost per GPA participant who increased his/her foreign language score in reading, writing, and/or listening/speaking by at least one proficiency level.

## HIGHER EDUCATION

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### Fund for the improvement of postsecondary education (Higher Education Act of 1965, Title VII, Part B)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
0	\$100,000	+\$100,000

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports exemplary projects that are models for innovative reform and improvement in postsecondary education. Under FIPSE, the Department has flexibility to establish specialized programs to support projects in areas of national need. Discretionary grants and contracts are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

Most recently, the Department has supported the First in the World program (FITW) under the FIPSE authority. FITW is a competitive grant program, modeled after the preK-12 Investing in Innovation fund (i3), that is designed to support the development, validation, scaling up and dissemination of innovative solutions and to build evidence of what works to effectively address persistent and widespread challenges to improving college affordability and completion of postsecondary programs for high need students, including, but not limited to, adult learners, working students, part-time students, students from low-income backgrounds, students of color, students with disabilities, and first-generation students. FITW also includes an emphasis on improving student outcomes at Historically Black Colleges and Universities (HBCUs) and Minority Serving Institutions (MSIs) by devoting up to 30 percent of program funds to this purpose.

FITW provides 4-year grants to encourage institutions and other organizations to develop innovative practices, evaluate and build evidence of effectiveness, and scale up and disseminate proven strategies. The program helps ensure that postsecondary institutions have access to innovative practices that have been shown to be effective in helping improve student outcomes, including completion, particularly for high-need students, including adult learners, working students, part-time students, students from low-income backgrounds, students of color, students with disabilities, and first-generation students. All FITW projects are expected to produce evaluations of their interventions that meet the What Works Clearinghouse (WWC) evaluation design standards.

## HIGHER EDUCATION

### Fund for the improvement of postsecondary education

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Like i3 (newly reauthorized as the Education Innovation and Research program), which supports innovation and evidence building in elementary and secondary education, FITW uses a multi-tiered structure that links the amount of funding that an applicant may receive to the strength of evidence supporting the efficacy of the proposed intervention, as well as the scope of the proposed project. Applicants proposing practices supported by limited evidence can receive relatively small grants that fund the implementation and initial evaluation of innovative but untested strategies. Applicants proposing practices supported by evidence from rigorous evaluations can receive larger grants for implementation at greater scale to test whether initially successful strategies remain effective when adopted in varied locations and with a diverse range of students. This tiered-evidence approach systematically identifies strategies that produce evidence of effectiveness when implemented at the largest levels of scale, such as across postsecondary systems, States, regions, or the country.

The FITW program supports three types of grants:

- Development Grants provide a relatively small amount of funding (\$2-3 million per grant) to support the development or testing of strategies that are supported by a strong theory or evidence of promise and whose efficacy should be systematically studied.
- Validation grants provide larger grants (\$6-10 million per grant) to expand projects supported by moderate evidence of effectiveness to multiple sites, such as across multiple institutions. Validation grants must further assess the effectiveness of the FITW-supported practice through a rigorous evaluation, with particular focus on the populations for whom, and the contexts in which the practice is most effective.
- Scale-up grants provide the largest grants (\$13-18 million per grant) to expand projects supported by strong evidence of effectiveness to a larger number of sites than would be required for a development or validation grant, such as across a system of institutions, across institutions in a State, a region, or nationally, or across institutions in a labor market sector. In addition to improving outcomes for an increasing number of high-need students, scale-up grants will generate information about the students and contexts for which a practice is most effective.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$3,494
2013.....	3,311
2014.....	79,400 <sup>1</sup>
2015.....	67,775 <sup>2</sup>
2016.....	0

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<sup>1</sup> Includes \$75,000 thousand for First in the World.

<sup>2</sup> Includes \$60,000 thousand for First in the World.

## HIGHER EDUCATION

### Fund for the improvement of postsecondary education

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#### FY 2017 BUDGET REQUEST

The Administration requests \$100 million in fiscal year 2017 for the Fund for the Improvement of Postsecondary Education (FIPSE), an increase of \$100 million from the fiscal year 2016 level, to support an expansion of the First in the World (FITW) program. Of the \$100 million, approximately \$96.5 million would be used for new FITW awards, including the first round of FITW scale-up grants to implement strategies proven to improve outcomes for students who are at risk for not completing postsecondary programs, and to rigorously evaluate such interventions at scale. Of the remaining \$3.5 million, \$2.5 million would be used to provide technical assistance to FITW grantees for conducting required project evaluations in order to contribute to the body of research on effective postsecondary strategies, and the remaining \$1 million would support peer review and data collection and analysis. Up to \$30 million would be reserved for projects designed to improve student outcomes at Historically Black Colleges and Universities (HBCUs) and Minority Serving Institutions (MSIs).

The Department conducted the first FITW competition in 2014. The competition supported development grants to test strategies to help at-risk students by addressing the following absolute priorities: 1) Increasing access and completion; 2) Increasing community college transfer rates to 4-year colleges, 3) Increasing enrollment in, and completion of STEM degree and certificate programs; 4) Reducing time to completion; and 5) Improving college affordability. Applicants also earned two additional points if they could demonstrate that their proposals were based on evidence that met the evidence of promise standard. The 2014 competition drew great interest from the field, yielding 459 eligible applications. A total of \$74.6 million was awarded to 24 institutions of higher education (IHEs), including awards made to five community colleges and \$20 million to six HBCUs and MSIs. All of these grantees are conducting evaluations of their interventions to assess their effectiveness, and all of these evaluations, as currently designed, have the potential to meet What Works Clearinghouse Standards. Examples of innovative approaches supported by 2014 FITW development grants include:

- **Hampton University (VA)**, an HBCU, is using a \$3.5 million grant to redesign many of its courses to incorporate more project-based learning and technology tools, benefitting more than 1,000 students over its 4-year duration.
- **LaGuardia Community College (NY)**, a Hispanic-Serving institution, is using a \$2.9 million grant to strengthen its curriculum by developing an integrated set of tools to increase student engagement and success, including the use of ePortfolios, learning analytics, and outcomes assessments. The changes will support thousands of high-risk students as they move from LaGuardia's non-credit program to academic enrollment as well as enrolled students moving toward graduation.
- **Georgia Tech (GA)** is creating the Center for Accessible Materials Innovation to expand access to digital content for students with disabilities. It includes a focus on ensuring that digital learning materials are accessible to students with disabilities, especially those at MSIs.

## HIGHER EDUCATION

### Fund for the improvement of postsecondary education

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- **Jacksonville State University (AL)** is redesigning curricula and classroom spaces and providing technological tools that include increased analytics, to increase the success of low-income, rural students. In addition, an outreach program to high-school students will increase awareness about the affordability of college.
- **Purdue University (IN)** is working with other members of the University Innovation Alliance to support STEM undergraduates, particularly women and underrepresented students. The innovations in expanding active learning opportunities for students will be developed and replicated across the Alliance's large, public university campuses.

In 2015, the Department added the validation grants tier to validate evidence-based strategies. The validation competition solicited evidence-based proposals designed to improve outcomes for high need students by addressing one of the following absolute priorities: 1) Improving Success in Developmental Education, 2) Improving Teaching and Learning, 3) Improving Student Support Services, and 4) Influencing the Development of Non-Cognitive Factors. The 2015 development competition included the following absolute priorities: 1) Improving Teaching and Learning, 2) Developing and Using Assessments of Learning, and 3) Facilitating Pathways to Credentialing and Transfer. Applicants could also earn competitive preference priority points for proposing projects designed to implement low cost/high-impact strategies.

The Department funded 2 of 24 validation applications and 16 of 259 development applications. Of the 18 awards, 9 grants were made to HBCUs and MSIs. Examples of innovative approaches supported by 2015 FITW development and validation grants include:

- **Central Carolina Community College (NC)** received a validation grant to partner with nine community colleges to implement an evidence-based proactive coaching intervention designed to provide individualized support services to over 8,000 adult learners, part-time students, low-income students, and students of color. It will use high-need student caseloads informed by an early alert/advising system powered by predictive analytics. The project will assess the effectiveness of the intervention through a RCT evaluation.
- **Georgia State University (GA)**, an Asian American and Native American Pacific Islander-Serving Institution, in partnership with 10 other Universities from across the Nation, also received a validation grant to implement a proactive advisement intervention for low-income and first generation students, dedicated to validating the effectiveness of this approach in increasing retention, progression and graduation rates for low-income and other high-need students at 4-year public Universities.
- **Spelman College (GA)**, an HBCU, is using random assignment to test the effectiveness of student metacognitive training in both classroom and peer-tutoring settings. The goal of the project is to enhance students' awareness of their own thinking and learning, leading to improvements in academic success and persistence in their courses of study.
- **Bergen Community College (NJ)**, in partnership with Union County College, is testing two alternative remedial math teaching methods to determine whether such strategies yield better outcomes than the traditional lecture. First-time students placed into remedial math courses will be randomly assigned to one of two treatment groups or a control group



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(traditional lecture). The first treatment group utilizes adaptive learning software within a short-term pre-semester bridge program followed immediately by enrollment into a college level math course; the second treatment group enrolls students immediately into a college-level math course with co-requisite one-hour weekly tutorial support.

- The **Western Interstate Commission for Higher Education (CO)** is scaling and enhancing its Passport project, which creates seamless transfer of lower-division general education requirements across participating institutions based on students' demonstration of learning outcomes, regardless of courses or credits completed. The project is designed to improve retention and completion rates, shorten the time-to-degree for students, and reduce costs.

The requested funding in fiscal year 2017 would enable the Department to add for the first time the scale-up grant tier for projects supported by strong evidence of effectiveness. Scale-up grants would support implementation and rigorous evaluation of previously validated strategies at large scale, such as across postsecondary systems, States, regions, or the country. The funding would also support additional validation and development grants. Applications for scale-up and validation awards would receive absolute or competitive preference for implementing projects involving systems and consortia that collaborate with leading experts to ensure effectiveness in project design and implementation.

As in 2014 and 2015, the Department plans to set aside a portion of the requested funding in 2017, up to 30 percent, or \$30 million, for awards to HBCUs and MSIs. These institutions enroll a significant and disproportionate share of individuals from underserved populations, including students from low-income backgrounds and first-generation college students. To make substantial gains in college completion rates across the Nation, it is essential to target strategies designed to address the unique challenges faced by students enrolled at HBCUs and MSIs. The 2014 and 2015 FITW competitions demonstrated that there is significant interest and ability among HBCUs and MSIs to participate in this program. In 2015, half of the 18 awards, totaling \$30 million, were made to HBCUs and MSIs.

The 2014 and 2015 competitions also confirm that there is significant unmet demand in this program. Across the 2 fiscal years, the Department received 742 eligible applications, but was only able to support 42 awards with the \$135 million appropriations (or fewer than 6 percent of the applications).

The request also includes appropriations language authorizing the use of FIPSE funding to support technical assistance and evaluation of strategies implemented under FITW.

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### Fund for the improvement of postsecondary education

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>First in the World</b>			
Number of new awards	18	0	19
Average new award	\$3,334	0	\$5,079
Total new award funding	\$60,020	0	\$96,500
<b>Centers of Excellence for Veteran Student Success</b>			
Number of new awards	13	0	0
Average new award	\$382	0	0
Total new award funding	\$4,962	0	0
<b>National Center for Information and Technical Support for Postsecondary Students with Disabilities</b>			
Number of new awards	1	0	0
Average new award	\$2,474	0	0
Total new award funding	\$2,474	0	0
<b>Contracts</b>			
Peer review of new award applications	\$590	0	\$800
FITW Technical Assistance Contract	\$1,462	0	\$2,500
FIPSE Database	\$187	0	\$200
Total FIPSE funding	\$69,695 <sup>1</sup>	0	\$100,000
Total number of awards	32	0	19

<sup>1</sup> Includes \$1,920 thousand of funding the Department re-programmed to FIPSE from other sources in the Higher Education Account. These funds, which would have otherwise lapsed, were used to make a partial award to an applicant that should have initially been funded but was not, due to an administrative error.

Total FIPSE funding	\$69,695 <sup>1</sup>	0	\$100,000
Total number of awards	32	0	19

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<sup>1</sup> Includes \$1,920 thousand of funding the Department re-programmed to FIPSE from other sources in the Higher Education Account. These funds, which would have otherwise lapsed, were used to make a partial award to an applicant that should have initially been funded but was not, due to an administrative error.

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

The Department is replacing the old FIPSE performance measures with a new set of metrics to better align them with the objectives of the FITW program. The Department included the following set of measures in the 2014 and 2015 Notice Inviting Applications for the FITW program:

- The extent to which funded projects are replicated.
- The extent to which projects are institutionalized and continued after funding.
- The extent to which metrics used to assess and evaluate project results measure performance under the absolute priority the project is designed to address.
- The percentage of projects supported by FITW grants that provide rigorous evidence of their effectiveness at improving student outcomes, especially for low-income students.
- The percentage of projects supported by FITW grants that provide high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.
- The cost per student served by FITW grants.
- The cost per successful student outcome served by FITW grants.

The 2014 FITW grantee cohort submitted their first set of Annual Performance Reports in December 2015. The Department will set targets for these measures in spring of 2016.

##### Other Performance Information

The last review of FIPSE performance was conducted in 2004 when the American Institute for Research found that FIPSE was successfully achieving its goals, but that a lack of emphasis on evaluation has resulted in evaluations of mixed quality. The study examined the performance of 60 randomly selected projects funded under the Comprehensive Program from 1996 to 1998. It also convened subject-matter experts to assess project effectiveness in a wider context. Overall, the study confirmed that FIPSE funds a wide range of innovative and reform projects that tend to continue after Federal funding expires, share their work with others in the higher education community, and influence postsecondary education.

## HIGHER EDUCATION

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### Model transition programs for students with intellectual disabilities into higher education

(Higher Education Act of 1965, Title VII, Part D, Subpart 2)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$11,800	\$11,800	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

The Model Transition Programs for Students with Intellectual Disabilities into Higher Education (TPSID) promote the successful transition of students with intellectual disabilities into higher education. TPSID funding supports competitive grants awarded to institutions of higher education (IHEs) (as defined under section 101(a) of the Higher Education Act of 1965, as amended (HEA)), or consortia of IHEs, to create or expand high-quality, inclusive model comprehensive transition and postsecondary programs for students with intellectual disabilities. Funds from this program also support a national Coordinating Center (Center), which develops evaluation standards for TPSID grantees and provides technical assistance, information, and opportunities for communication among institutions with postsecondary programs for students with intellectual disabilities. The Center assists in the development, evaluation, funding, outreach, and continuous improvement of model transition programs.

Grants under this program are awarded for a period of 5 years. All grant recipients must partner with one or more local educational agencies to support students with intellectual disabilities who are eligible for special education and related services under the Individuals with Disabilities Education Act (IDEA). IHEs receiving funds under this program are required to match Federal funds in an amount that is no less than 25 percent of the award amount. Funds may be used for a variety of activities, including: student support services; academic enrichment, socialization, or living skills programs; integrated work experiences; development of individualized instruction plans; evaluation of the model program, in cooperation with the Center; program sustainability; and development of a program credential.

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### **Model transition programs for students with intellectual disabilities into higher education**

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Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$10,957
2013.....	10,384
2014.....	10,384
2015.....	11,800
2016.....	11,800

### FY 2017 BUDGET REQUEST

The Administration requests \$11.8 million for the Model Transition Programs for Students with Intellectual Disabilities in fiscal year 2017, the same as the fiscal year 2016 appropriation. Funds appropriated in fiscal year 2017 would support continuation awards for the 25 fiscal year 2015 grantees, as well as the Center. In addition to activities required by authorizing statute, the Joint Explanatory Statement accompanying the Department of Education Appropriations Act, 2015, directs the Center to administer a mentoring program matching current and new TPSID grantees, and to coordinate a longitudinal data collection, among other activities. The Department plans to continue support for these activities in fiscal years 2016 and 2017.

Students with intellectual disabilities are the least likely to have college listed as goal on their Individualized Education Plan (IEP) in high school and are among the least likely (along with students with multiple disabilities) to enroll in postsecondary education within 4 years after high school (Grigal, Hart, & Lewis, "A Prelude to Progress: The Evolution of Postsecondary Education for Students with Intellectual Disabilities," 2012). Data on students with disabilities, ages 14-21, illustrate that of the 49,482 students with intellectual disabilities who exited IDEA in school year 2013-2014, approximately 29 percent graduated with a regular high school diploma and 26 percent received a certificate. The remaining students dropped out (12 percent); moved, but were known to be continuing (26 percent); reached maximum age (5 percent); transferred to regular education (3 percent); or died (0.5 percent).

According to the 2013 "Post-High School Outcomes of Young Adults With Disabilities up to 8 Years After High School" report from the National Longitudinal Transition Study-2 (NLTS2), only 30 percent of students with intellectual disabilities enrolled in postsecondary education settings, the lowest rate of all disability categories after 8 years, and of these students, only 6 percent enrolled in 4-year colleges. Among those who do attend college, students with intellectual disabilities are less likely than youth with other disabilities to successfully find employment, live independently, or see friends at least weekly (Papay and Bambara, "Career Development and Transition for Exceptional Individuals," 2014).

TPSID programs identify, promote, and demonstrate innovative strategies to serve students with intellectual disabilities, in areas such as: access to academically inclusive college courses; participation in internships and integrated competitive employment, and engagement in social and personal development activities.

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### Model transition programs for students with intellectual disabilities into higher education

The current TPSID Coordinating Center is Think College, a project of the Institute for Community Inclusion at the University of Massachusetts Boston. In the most recent annual report released in 2015, Think College reports that TPSID served a total of 883 students on 50 campuses, across 23 states in the fourth year of data collection, i.e., fiscal year 2014. TPSID reported successes in a number of areas, including: establishment of peer education centers through which other college students provide academic and social mentoring; support for Universal Design for Learning and Universal Course Design training for faculty, staff, and administrators; and establishment of satellite posts of successful vocational and social skill programs on other campuses within respective community college networks. Student outcomes of this reporting year were also impressive: 39 percent of students who exited the TPSID program held paid jobs (of these students, 48 percent had never held a job prior to entering the TPSID program), and 77 percent of the students who exited the program earned one or more credentials prior to exiting.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Number of new awards	25	0	0
Average new award	\$364	0	0
Total new award funding	\$9,100 <sup>1</sup>	0	0
Number of NCC awards	0	25	25
Average NCC award	0	\$387	\$398
Total NCC award funding	0	\$9,680 <sup>1,2</sup>	\$9,800 <sup>1,2</sup>
Coordinating Center	\$2,000	\$2,000	\$2,000
Peer review of new award applications	\$97	0	0

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<sup>1</sup> Each grantee is required to contribute a total of \$4.5 thousand to the Coordinating Center.

<sup>2</sup> NCC award funding varies annually based on individual project budget in approved application.

### PROGRAM PERFORMANCE INFORMATION

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, and those requested in fiscal year 2017 and future years, and the resources and efforts invested by those served by this program.

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### **Model transition programs for students with intellectual disabilities into higher education**

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TPSID grantees submit annual performance reports (APRs) to the Department. Data from these reports are used to assess the success of TPSID grantees in meeting the program's goal of promoting the successful transition of students with intellectual disabilities into higher education.

In addition to participating in the evaluation activities conducted by the Center, each TPSID has its own internal mechanism for evaluating its program. The Center captures information about these strategies through the TPSID Program Evaluation Special Interest Group. In general, TPSIDs evaluate their programs using information from a variety of sources, including: assessments of students' academic progress; assessments of students' career interests and progress; assessments of students' self-determination levels; and interviews, meetings, and feedback questionnaires with students, peer mentors, and staff.

The Center piloted an evaluation tool in 2011 and made modifications based on grantee feedback. The Center made the evaluation data collection system available for use beginning in September 2012 for the 27 fiscal year 2010 grantees. These TPSID grantees submitted data for all 5 years of the grants. In 2015, the Center released a report on grantees' progress over the first 4 years of the program, and the Year 5 final report is expected to be published in early 2016.

The Department is currently exploring a number of different approaches to measuring the success and performance of the Center and TPSID grantees. The Department developed two draft performance measures, and expects to further refine these measures and targets and identify additional program measures during fiscal year 2016.

**Goal: To promote the successful transition of students with intellectual disabilities into higher education.**

**Objective:** *Increase the percentage of students with intellectual disabilities who are enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department.*

**Measure:** The percentage of students with intellectual disabilities enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department.

Year	Target	Actual
2015		80%
2016	85%	
2017	85	

**Additional Information:** The Department established targets for this measure after obtaining baseline data in the early years of the grant program. The percentage of students completing a TPSID program with meaningful credential increased steadily over the 5 years of the grants.

Possible credentials include certificates specifically for TPSID students granted by IHE, specialized certificates granted by a program, certificates available to all students, specialized certificates issued from a Local Education Agency (LEA), Bachelor or Associate degrees

## HIGHER EDUCATION

### Model transition programs for students with intellectual disabilities into higher education

available to all students. Of the 324 students who exited a TPSID program during fiscal year 2015 (i.e., Year 5), 259 students (80 percent) received a meaningful credential, an increase of 3 percent over the previous year, and a nearly 40 percent increase over the first year of the grants.

The details of the Year 5 report have not yet been released. The most common credential earned by exiting students in Year 4 was an IHE certificate specifically for TPSID students (36 percent), while the least common was a Bachelor's degree; only 2 percent of exiting students earned a Bachelor's degree available to all students at the IHE.

A primary goal of the TPSID program is to facilitate career development and to provide the supports necessary for students to seek and sustain integrated competitive employment. In order to obtain data on the impact of the TPSID programs on students' ability to obtain these employment outcomes, follow-up data must be collected after program exit. According to the Year 4 report, there was a significant increase in the number of TPSID sites that were collecting follow-up data on students who exited the program. During Years 1 and 2, only 23 percent of programs were collecting follow-up data on former students. This increased to 36 percent in Year 3 and 54 percent in Year 4. Employment outcomes such as type of job, earnings and hours worked, living situation, and volunteer or community service activities were the most common areas of data collection.

The collection of follow-up data is critical in determining not only the outcomes experienced by students, but also which programmatic elements have the greatest impact and which may need refinement. The Center is not permitted to gather information from TPSIDs at any point after students exit the program, however, TPSIDs may continue this data collection on their own. The Department will work to further develop measures in this area during fiscal year 2016.

**Objective:** *Increase the percentage of TPSID grant recipients that meet Department-approved, Center-developed standards for necessary program components.*

**Measure:** The percentage of TPSID grant recipients that meet Department-approved, Center-developed standards for necessary program components: Academic Access; Career Development; Campus Membership; Self-Determination; Alignment with College Systems and Practices; Coordination and Collaboration; Sustainability; and Ongoing Evaluation.

Year	Target	Actual
2015		88%
2016	90%	88
2017	90	

**Additional Information:** The Center developed the Think College Standards for Inclusive Higher Education in 2012. These eight standards include 18 quality indicators and 87 benchmarks and provide an evaluation framework for TPSID performance in areas of academic, vocational, social, and independent living skills; evaluation of student progress; program administration and evaluation; student eligibility; and program credit equivalency.

The Center looks at the TPSID grantees as a cohort in this measure, determining the rate at which all standards are met by all programs. In fiscal year 2015, 100 percent of TPSIDs met



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### Model transition programs for students with intellectual disabilities into higher education

seven of the eight standards (88 percent). This is an increase of 25 percent over the previous year, when TPSIDE grantees met only five of the eight standards (63 percent). The following table provides a breakout of the individual standards and the percentage of grantees that met each, respectively, by year.

Standard	FY 2014	FY 2015
<b>1. Academic Access:</b> To facilitate quality academic access for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to a wide array of college course types that are attended by students without disabilities and address issues that may impact college course participation	100%	100%
<b>2. Career Development:</b> To facilitate career development leading to competitive employment for students with intellectual disabilities, the comprehensive postsecondary education program should provide students with the supports and experiences necessary to seek and sustain competitive employment.	96	93
<b>3. Campus Membership:</b> To facilitate campus membership for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to and support for participation in existing social organizations, facilities, and technology.	100	100
<b>4. Self-Determination:</b> To facilitate the development of self-determination in students with intellectual disabilities, the comprehensive postsecondary education program should ensure student involvement in and control of the establishment of personal goals through use of person centered planning and have a stated process for family involvement.	96	100
<b>5. Alignment with College Systems and Practices:</b> To facilitate alignment with college systems and practices for students with intellectual disabilities, the comprehensive postsecondary education should offer an educational credential (e.g., degree or certificate) established by the institution for students enrolled in the program, provide access to academic advising college campus resources, collaborate with faculty and staff, and adhere to the college's schedules, policies and procedures, public relations, and communications.	100	100

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### Model transition programs for students with intellectual disabilities into higher education

Standard	FY 2014	FY 2015
<b>6. Coordination and Collaboration:</b> To facilitate collaboration and coordination, the comprehensive postsecondary education program should establish connections and relationships with key college/university departments and have a designated person to coordinate program-specific services of the comprehensive postsecondary education program.	100	100
<b>7. Sustainability:</b> To facilitate sustainability the comprehensive postsecondary education program should use diverse sources of funding and have a planning and advisory team.	100%	100%
<b>8. Ongoing Evaluation:</b> To facilitate quality postsecondary education services for students with intellectual disabilities, the comprehensive postsecondary program should conduct evaluation of services and outcomes on a regular basis.	96	100

The Department will work with the Center to refine this measure in fiscal year 2016. The Department will also identify additional measures, including long-term and efficiency measures, for the evaluation of TPSID grantees in fiscal year 2016 to ensure program accountability and compliance. Data from the current 25 grantees from fiscal year 2015 and the 27 fiscal year 2010 grantees will inform progress in these areas.

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### Tribally controlled postsecondary career and technical institutions

(Carl D. Perkins Career and Technical Education Act of 2006, Section 117)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$8,286	\$8,286	0

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<sup>1</sup> The GEPA extension expired September 30, 2013; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

This program makes grants to tribally controlled postsecondary career and technical institutions to provide career and technical education to Indian students.

In order to be eligible for a grant, a tribally controlled postsecondary career and technical institution must:

- Be formally controlled (or have been formally sanctioned or chartered) by a governing body of an Indian tribe or tribes;
- Offer a technical degree- or certificate-granting program;
- Demonstrate that it adheres to a philosophy or plan of operation that fosters individual Indian economic opportunity and self-sufficiency by providing, among other things, programs that relate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations;
- Have been operational for at least 3 years;
- Be accredited, or be a candidate for accreditation, by a nationally recognized accrediting authority for postsecondary career and technical education;
- Enroll at least 100 full-time equivalent students, the majority of whom are Indians; and
- Receive no funds under Title I of the Tribally Controlled Colleges and Universities Assistance Act of 1978 or the Navajo Community College Act.

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### **Tribally controlled postsecondary career and technical institutions**

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Funds may be used by a grantee to train faculty; purchase equipment; provide instructional services, child-care and other family support services, and student stipends; and for institutional support.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$8,146
2013.....	8,131
2014.....	7,705
2015.....	7,705
2016.....	8,286

### FY 2017 BUDGET REQUEST

For fiscal year 2017, the Administration requests \$8.3 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, the same amount as the fiscal year 2016 appropriation. Funds would be used to improve eligible institutions' academic and career and technical education offerings as well as for institutional support and capital expenditures. The budget request assumes that the program will be implemented in fiscal year 2017 under reauthorized legislation.

This program currently makes awards to two institutions: Navajo Technical College (Navajo Tech), formerly Crownpoint Institute of Technology, and United Tribes Technical College (UTTC). While UTTC is located in an urban setting and serves a diverse Indian student population and Navajo Tech is a rural institution that serves an almost entirely Navajo enrollment, they struggle with similar institutional and academic challenges. Both institutions serve an especially economically disadvantaged population and have difficulty providing sufficient financial aid to students. In addition, each school serves a number of students who lack preparation for postsecondary education and need academic and support services to help them develop the skills needed for postsecondary work.

Furthermore, according to Navajo Tech and UTTC officials, these institutions receive limited support from the tribes they serve because they are not the primary postsecondary institutions for those tribes. The institutions also receive limited financial support from such sources as student tuition, endowments, and State assistance and, therefore, they rely on Federal assistance to help them provide postsecondary career and technical education services to their students.

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

The Administration released its blueprint for reauthorization of the Perkins Act in April 2012. The reauthorization proposal would continue to provide support for the TCPCTI program while seeking to ensure that grantees under the program incorporate key reforms embodied in the broader reauthorization proposal, including linking career and technical education programs to in-demand occupations in high-growth sectors and ensuring linkages of those programs with industry and business.

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Range of awards	\$2,145-\$5,560	\$2,145-\$5,560	\$2,145-\$5,560
Number of awards	2	2	2

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

**Goal: To increase access to and improve career education that will strengthen workforce preparation, employment opportunities, and lifelong learning in the Indian community.**

**Objective:** *Ensure that career and technical education (CTE) students in tribally controlled postsecondary career and technical institutions make successful transitions to work or continuing education.*

**Measure:** The percentage of CTE students who receive a degree, certificate, or credential.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2012	85%	88%	55%	41%
2013	86	96	60	53
2014	88	82	56	66
2015	90		58	
2016	95		60	
2017	88		62	

**Additional information:** The source of data is grantee reports. The percentage of CTE students who receive a degree, certificate, or credential is based on the number of CTE concentrators (students who have completed at least 12 academic or CTE credits in a single

## HIGHER EDUCATION

### **Tribally controlled postsecondary career and technical institutions**

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program area or a full short-term CTE program comprised of less than 12 credits that results in an industry-recognized credential, certificate, or degree) who received an industry-recognized credential, a certificate, or a degree during the reporting year divided by the total number of CTE concentrators who left postsecondary education during the reporting year. Navajo Tech attributes the decreases in its performance to increases in the rigor of its programs since the institution was accredited as a university in 2013. The increased rigor has led to a decline in student attainment and an increase in the number of students having academic problems or withdrawing from the institution. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2015 will be available in early 2016.

**Measure:** The percentage of students who are retained in postsecondary CTE programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2012	80%	81%	65%	55%
2013	82	63	70	51
2014	83	66	60	56
2015	85		65	
2016	87		65	
2017	82		58	

**Additional information:** The source of data is grantee reports. The measure is based on students who complete CTE programs and students who have not yet completed, but have been retained, in CTE programs. Students who are retained in postsecondary CTE programs are the number of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year, divided by the number of CTE concentrators who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2015 will be available in early 2016.

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### Tribally controlled postsecondary career and technical institutions

**Measure:** The percentage of students who meet State- or program-established industry-validated CTE skills standards.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2012	90%	71%	82%	68%
2013	90	77	83	73
2014	80	79	73	72
2015	85		80	
2016	85		82	
2017	83		76	

**Additional information:** The percentage of students who meet State- or program-established industry-validated CTE skills standards is based on the number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards during the reporting year divided by the number of CTE concentrators who took technical skill assessments during the reporting year. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2015 will be available in early 2016.

**Objective:** *Ensure that CTE students in the tribally controlled postsecondary career and technical institutions are placed in jobs or continuing education or complete postsecondary CTE programs.*

**Measure:** The percentage of students placed in jobs, military service, or higher-level continuing education programs upon graduation or completion of the postsecondary career and technical education programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2012	60%	61%	60%	77%
2013	70	73	70	87
2014	65	79	80	79
2015	70		85	
2016	73		87	
2017	77		82	

**Additional information:** The source of data is grantee reports. The Department requires Navajo Tech and UTTC to collect placement data during the second quarter after students graduate from or complete their programs. Since most students do so in late spring or early summer, both institutions generally collect these data at the end of the calendar year. The Department has worked with the grantees to help ensure that they collect performance data consistently, but both grantees have acknowledged weaknesses in their data on post-program outcomes (such as placement in jobs or continuing education). The grantees have stated it is difficult to track students after they leave the institutions and that they need to develop strategies for collecting better data on this indicator. UTTC reported that decreases in performance are largely due to students leaving the institution without a credential due to new

## HIGHER EDUCATION

### **Tribally controlled postsecondary career and technical institutions**

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job opportunities in a recovering economy. Some students would rather get a job that provides a salary immediately rather than foregoing an income while they work towards a credential. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2015 will be available in early 2016.

#### **Efficiency Measures**

The Department adopted cost per participant as the efficiency measure for this program. The Department considered calculating the cost per successful outcome (which would be a more meaningful indicator of cost-effectiveness), but the recipients do not use the same methodology to determine degree completion, which would make these data unreliable. The Department developed guidance to help grantees improve the comparability of the data provided in their performance reports and expects to be able to calculate the cost per successful outcome more reliably in the future.

**Measure:** Annual cost per participant.

<b>Year</b>	<b>Cost per participant, Navajo Tech</b>	<b>Cost per participant, UTTC</b>
<b>2009</b>	\$4,865	\$5,269
<b>2010</b>	4,705	4,878
<b>2011</b>	3,160	4,747
<b>2012</b>	3,104	4,128
<b>2013</b>	2,950	2,950
<b>2014</b>	3,172	3,172

**Additional information:** The statutory definition of Indian student count is an aggregate of the enrollment counts for each term: summer school, fall, spring, and continuing education; this means that an individual student may be included more than once in the total count. Since funding is distributed on an annual basis, the Department calculates the cost per participant by dividing the reported Indian student count by two to adjust for students who are counted multiple times. Data for fiscal year 2015 will be available by the fall of 2016. Note that the validity of the student count data provided by the recipients is uncertain.



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### Federal TRIO programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

	<u>2016</u>	<u>2017</u>	<u>Change</u>
	\$900,000	\$900,000	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

The Federal TRIO Programs consist primarily of five discretionary grant programs—Talent Search, Upward Bound, Student Support Services, Educational Opportunity Centers, and McNair Post Baccalaureate Achievement—that provide services to encourage individuals from disadvantaged backgrounds to enter and complete college and postgraduate education. Competitive grants are awarded for 5 years to eligible applicants, which include institutions of higher education; public and private agencies, including community-based organizations with experience in serving disadvantaged youth; and, as appropriate to the purposes of the program, secondary schools. At least two-thirds of the program participants must be low-income, first-generation college students (or individuals with disabilities for the Student Support Services program).

Talent Search identifies and assists individuals from disadvantaged backgrounds, who are between 11 and 27 years of age, and who have the potential for postsecondary education. The program provides academic, career, and financial counseling to its participants and encourages them to graduate from high school (or return to school, for those who have dropped out) and enroll in a postsecondary education program. Projects must provide connections to academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, connections to services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects also may provide academic tutoring; personal and career counseling; information on career options; exposure to college campuses; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care.

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### Federal TRIO programs

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Upward Bound provides services to high school students that are designed to generate the skills and motivation needed to pursue and complete a postsecondary education. Projects provide the same services as Talent Search projects, except that Upward Bound projects may provide an on-campus residential summer component and work-study positions that expose students to careers requiring a postsecondary degree. In addition to regular projects, Upward Bound includes projects focused on math and science and also on veterans. The *Upward Bound Math and Science* program establishes mathematics and science centers that encourage students to pursue postsecondary degrees specifically in those fields. The *Veterans Upward Bound* projects are designed to assist veterans in preparing for a program of postsecondary education.

Educational Opportunity Centers provide counseling and information on college admissions to adults who are at least 19 years old and who are seeking a postsecondary education degree. Services include disseminating information on higher education opportunities in the community; academic advice, personal counseling, and career workshops; help in completing applications for college admissions, testing, and financial aid; tutoring; mentoring; and services to improve financial and economic literacy.

The Student Support Services program offers a broad range of support services to postsecondary students to increase their retention and graduation rates and to increase their transfer rates from 2-year to 4-year institutions. All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities, limited English proficiency students, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's funds). Projects providing grant aid also must provide a match equal to 33 percent of the total funds used for that purpose, unless they are eligible to receive funds under Title III, Part A or B, or Title V of the Higher Education Act.

The McNair Post Baccalaureate Achievement program prepares disadvantaged undergraduate students for doctoral study to help them succeed in obtaining doctoral degrees. Projects must provide opportunities for research and other scholarly activities at the recipient institution or graduate center, summer internships, seminars, tutoring, academic counseling, and activities to help students enroll in graduate programs. Projects may also provide services to improve financial and economic literacy, mentoring, and exposure to cultural events and academic programs not usually available to disadvantaged students.

The two largest programs, in terms of funding, are Upward Bound (which includes Veterans Upward Bound and Upward Bound Math and Science) and Student Support Services, which together accounted for nearly three-fourths of TRIO funding in 2015. TRIO programs vary greatly in service intensity, with per-participant annual costs ranging from a high of \$8,316 for the McNair Postgraduate Achievement program to a low of \$246 for the Educational Opportunity Centers. The regular Upward Bound and Upward Bound Math and Science projects, on

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### Federal TRIO programs

average, spend approximately \$4,293 and \$4,290 per year per participant, respectively, while the Veterans Upward Bound projects, which do not have a residential summer component, had an average per participant annual cost of \$2,063 in 2015. Most projects are located at colleges, although non-profit organizations operate a substantial number of Talent Search and Educational Opportunity Center projects.

### Number of Participants, Participants per Project and Cost per Participant (FY 2015)

Award Type	Number of Participants	Average number of participants per project	Federal cost per participant
Talent Search	310,199	691	\$434
Upward Bound	61,361	75	4,293
Veterans Upward Bound	6,566	134	2,063
Upward Bound Math and Science	10,034	62	4,290
Educational Opportunity Centers	189,733	1,506	246
Student Support Services	205,263	190	1,448
McNair	4,293	28	8,316

### Percentage of Funds by Institution Type (FY 2015)

Institution Type	Talent Search	Upward Bound <sup>1</sup>	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	41.0%	47.6%	42.1%	41.0%	71.6%
Public, 2-year	29.1	26.4	26.4	46.8	0.0
Private, 4-year	10.1	17.4	5.2	11.8	28.4
Private, 2-year	<u>0.0</u>	<u>0.1</u>	<u>0.0</u>	<u>0.4</u>	<u>0.0</u>
Total, Postsecondary	80.2	91.5	73.7	99.9	100.0
Other organizations <sup>2</sup>	<u>19.8</u>	<u>8.5</u>	<u>26.3</u>	<u>0.1</u>	<u>0.0</u>
Total	100.0	100.0	100.0	100.0	100.0

<sup>1</sup> Includes regular Upward Bound, Upward Bound Math and Science, and Upward Bound Veterans.

<sup>2</sup> Other includes nonprofit organizations, State agencies, local educational agencies, county and city governments, private profit-making organizations, Indian Tribes, and private elementary and secondary schools.

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In addition, TRIO funding supports training for project staff members, dissemination of best practices, evaluation activities, and administrative expenses.

Funding for Staff Training grants supports professional development activities and opportunities to improve the competency of project directors and staff members. Training is offered on such topics as: legislative and regulatory requirements for operating funded projects; assisting students in receiving adequate financial aid; the design and operation of model programs; the use of appropriate educational technology in the operations of funded projects; and strategies for recruiting and serving students with limited-English proficiency or with disabilities, homeless children and youth, foster care youth, or other disconnected students.

Funding for Evaluation activities helps to improve the effectiveness of TRIO programs and projects. The statute requires rigorous evaluation of TRIO programs and projects. The evaluation must examine the characteristics of the programs and projects that most benefit students.

Finally, up to 0.5 percent of the funds appropriated for TRIO may be used by the Department to support administrative activities that include obtaining additional qualified readers to review applications; increasing the level of oversight monitoring; supporting impact studies, program assessments, and reviews; and providing technical assistance to applicants and grantees.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012 .....	\$839,932
2013 .....	795,998
2014 .....	838,252
2015 .....	839,752
2016 .....	900,000

### FY 2017 BUDGET REQUEST

The Administration is requesting \$900 million in fiscal year 2017 for the Federal TRIO programs, the same as the fiscal year 2016 level. Approximately \$350 million of these funds will support new Upward Bound, Upward Bound Math and Science, Veterans Upward Bound, and McNair Postbaccalaureate competitions that would encourage applicants to identify and implement evidence-based strategies in these programs. Approximately \$525 million would be used to support continuation awards to grantees that were successful in TRIO competitions in 2011 (Talent Search and Educational Opportunity Centers), 2012 (Upward Bound, Upward Bound Math and Science, Veterans Upward Bound, and McNair), 2015 (Student Support Services), and 2016 (Talent Search, Educational Opportunity Centers, and Staff Training). The request also includes \$3.4 million to maintain administrative support for the TRIO programs, including the costs of collecting and analyzing grantee performance data, and an additional \$2 million for program evaluation.

The TRIO programs are among the Department's largest and most important higher education investments. These programs can best serve students who are low-income or whose parents never completed college by supporting strategies proven to improve student outcomes. For this

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### Federal TRIO programs

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reason, as is the case in other higher education grant programs, the Department has begun to place an increasing emphasis on promoting evidence-based practices in TRIO grant competitions. In the fiscal year 2015 Student Support Services competition, the Department included competitive priorities for evidence-based strategies to provide individualized counseling and address non-cognitive contributors to student outcomes. In the fiscal year 2016 Talent Search competition announced in December 2015, the Department included priorities for evidence-based strategies to provide academic tutoring and mentoring. The 2016 Educational Opportunity Centers competition will include a selection factor for projects based on strong theory. The Department plans to continue engaging with the TRIO community in order to support priorities for evidence-based practices in the fiscal year 2017 Upward Bound, Upward Bound Math and Science, Veterans Upward Bound, and McNair Postbaccalaureate competitions.

The Administration seeks to further these efforts by using up to \$20 million of the requested funding to develop a TRIO Demonstration Initiative, in consultation with the TRIO community, that would give TRIO grantees, or consortia of grantees, the opportunity to compete for increased funding to: 1) implement additional evidence-based college access and success strategies and serve additional students, and 2) participate in evaluations of such strategies to contribute to the growing body of evidence about the effectiveness of particular student support activities. The Department would work with the broader TRIO grantee community in determining the interventions to be implemented and enter into cooperative agreements with grantees, or consortia of grantees, to support implementation and evaluation activities. Evaluation methods could range from experimental designs to quick turnaround studies that use administrative data, and would be designed to contribute to what is known in the field about commonly applied practices. In the future, strategies that show evidence of effectiveness when implemented at scale and that are generalizable to different institutional settings could be adopted more broadly by all TRIO grantees. The Department could support this initiative while still increasing the levels of support for the Upward Bound and McNair competitions.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015 Funding</u>	<u>2016 Funding</u>	<u>2017 Funding</u>	<u>2015 Awards</u>	<u>2016 Awards</u>	<u>2017 Awards</u>
<b>Talent Search</b>						
New awards	0	\$139,889	0	0	466	0
Continuation awards	<u>\$135,055</u>	<u>16,088</u>	<u>\$149,101</u>	<u>450</u>	<u>37</u>	<u>500</u>
<i>Total</i>	<i>135,055</i>	<i>154,995</i>	<i>149,101</i>	<i>450</i>	<i>503</i>	<i>500</i>

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015 Funding</u>	<u>2016 Funding</u>	<u>2017 Funding</u>	<u>2015 Awards</u>	<u>2016 Awards</u>	<u>2017 Awards</u>
<b>Upward Bound</b>						
New awards	0	0	\$254,115	0	0	790
Continuation awards	<u>\$263,412</u>	<u>\$275,055<sup>1</sup></u>	<u>19,264</u>	<u>814</u>	<u>814</u>	<u>46</u>
<i>Total</i>	<i>263,412</i>	<i>275,055</i>	<i>273,379</i>	<i>814</i>	<i>814</i>	<i>836</i>
<b>Veterans Upward Bound</b>						
New awards	0	0	14,025	0	0	49
Continuation awards	<u>13,548</u>	<u>16,657<sup>1</sup></u>	<u>0</u>	<u>49</u>	<u>49</u>	<u>0</u>
<i>Total</i>	<i>13,548</i>	<i>16,657</i>	<i>14,025</i>	<i>49</i>	<i>49</i>	<i>49</i>
<b>Upward Bound Math and Science</b>						
New awards	0	0	44,000	0	0	162
Continuation awards	<u>43,050</u>	<u>49,388<sup>1</sup></u>	<u>0</u>	<u>162</u>	<u>162</u>	<u>0</u>
<i>Total</i>	<i>43,050</i>	<i>49,388</i>	<i>44,000</i>	<i>162</i>	<i>162</i>	<i>162</i>
<b>Educational Opportunity Centers</b>						
New awards	0	40,562	0	0	111	0
Continuation awards	<u>46,925</u>	<u>15,519</u>	<u>50,220</u>	<u>126</u>	<u>32</u>	<u>136</u>
<i>Total</i>	<i>46,925</i>	<i>56,081</i>	<i>50,220</i>	<i>126</i>	<i>143</i>	<i>136</i>
<b>Student Support Services</b>						
New awards	273,538	0	0	1,011	0	0
Continuation awards	<u>23,718</u>	<u>303,793<sup>1</sup></u>	<u>303,393</u>	<u>72</u>	<u>1,072</u>	<u>1,072</u>
<i>Total</i>	<i>297,257</i>	<i>303,793</i>	<i>303,393</i>	<i>1,083</i>	<i>1,072</i>	<i>1,072</i>
<b>McNair Postbaccalaureate</b>						
New awards	0	0	38,000	0	0	170
Continuation awards	<u>33,291<sup>2</sup></u>	<u>35,229<sup>1</sup></u>	<u>0</u>	<u>151</u>	<u>151</u>	<u>0</u>
<i>Total</i>	<i>33,291</i>	<i>35,229</i>	<i>38,000</i>	<i>151</i>	<i>151</i>	<i>170</i>
<b>Staff Training</b>						
New awards	0	2,500	0	0	6	0
Continuation awards	<u>1,525</u>	<u>0</u>	<u>2,500</u>	<u>8</u>	<u>0</u>	<u>6</u>
<i>Total</i>	<i>1,525</i>	<i>2,500</i>	<i>2,500</i>	<i>8</i>	<i>6</i>	<i>6</i>

<sup>1</sup> Includes 2016 funds used to increase award amounts for existing grantees and funds used to pay 2017 continuation costs in the following amounts: Upward Bound-\$1,976 thousand; Veterans Upward Bound-\$2,437 thousand; Upward Bound Math and Science-\$4,965 thousand; McNair-\$4,501 thousand. The funds used to pay 2017 continuation costs are excluded from the totals in the 2017 column.

<sup>2</sup> Includes \$8,026 thousand used to frontload 2016 continuation awards.

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### Federal TRIO programs

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015 Funding</u>	<u>2016 Funding</u>	<u>2017 Funding</u>	<u>2015 Awards</u>	<u>2016 Awards</u>	<u>2017 Awards</u>
<b>TRIO Demonstration</b>						
New awards	<u>0</u>	<u>0</u>	<u>\$20,000</u>	<u>0</u>	<u>0</u>	<u>16</u>
<i>Total</i>	<u>0</u>	<u>0</u>	<u>20,000</u>	<u>0</u>	<u>0</u>	<u>16</u>
<b>Total awards</b>						
Total new awards	\$273,620	\$181,451	370,140	1,019	583	1,187
Total Continuation awards	560,443	709,747	524,878	1,832	2,317	1,760
<b>Evaluation</b>	2,000	2,000	2,000			
<b>Administrative expenses:</b>						
Peer review of new award applications	2,478	2,618	1,650			
Other expenses	<u>1,211</u>	<u>1,583</u>	<u>1,778</u>			
<i>Total</i>	<u>3,689</u>	<u>4,301</u>	<u>3,428</u>			
<b>Total</b>	<b>839,752</b>	<b>900,000</b>	<b>900,000</b>	<b>2,851</b>	<b>2,900</b>	<b>2,947</b>

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

**Goal: Increase the percentage of low-income, first-generation college students who successfully pursue postsecondary educational opportunities.**

**Objective:** *Increase postsecondary enrollment rates of low-income, first-generation individuals in the academic pipeline.*

## HIGHER EDUCATION

### Federal TRIO programs

**Measure:** The percentage of participants enrolling in college.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Educational Opportunity Centers Target	Educational Opportunity Centers Actual
2012	80.0%	79.8%	76.0%	81.8%	61.0%	60.6%
2013	80.5	80.6	78.0	83.2	61.5	59.0
2014	80.5	79.7	80.5	85.3	61.5	57.6
2015	80.5		81.0		61.5	
2016	81.0		81.5		61.5	
2017	81.0		82.0		62.0	

**Additional information:** This measure looks at the percentage of participants who enroll in college. Targets are set and data are calculated independently for each of the three programs for which this measure is relevant. Data are provided by the grantees in their Annual Performance Reports.

- For Talent Search, the measure looks at the percentage of “college ready” participants who enrolled in programs of postsecondary education during the reporting period or the next fall term. “College ready” participants are those who are high school seniors or are enrolled in an alternative education program at an academic level equivalent to that of a high school senior, adults who had graduated from high school or received a high school equivalency diploma, postsecondary dropouts, and potential postsecondary transfers. The measure does not show the percentage of all students ever served by Talent Search who ultimately are admitted to college. For example, Talent Search participants who drop out of the program prior to 12<sup>th</sup> grade are excluded from the calculation.
- The Upward Bound program, including the Math and Science projects, uses a different method to calculate the percentage of Upward Bound participants who subsequently enroll in postsecondary education. For Upward Bound, the percentage is calculated by dividing the number of students enrolling in postsecondary education during the reporting year by the number of students with an Expected High School Graduation Year during that reporting year (Expected High School Graduation Year is defined as the year a student would be expected to graduate assuming a normal 4 year progression).
- For Educational Opportunity Centers, the Department defines the cohort of participants comprising the denominator in the postsecondary enrollment calculation in the following way: participants who are high school seniors or the equivalent in alternative education programs, high school graduates, recipients of high school equivalency credentials, postsecondary dropouts, or potential postsecondary transfers.

**Objective:** Increase postsecondary persistence and completion rates of low-income, first-generation individuals in the academic pipeline.



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### Federal TRIO programs

**Measure:** The percentage of Student Support Services participants completing an Associate's degree at their original institution or transferring to a 4-year institution within 3 years.

Year	Target	Actual
2012	33.0%	39.9%
2013	34.0	39.0
2014	36.0	39.2
2015	37.0	
2016	37.5	
2017	38.0	

**Measure:** The percentage of Student Support Services first-year students completing a Bachelor's degree at their original institution within 6 years.

Year	Target	Actual
2012	40.0%	49.2%
2013	41.0	50.4
2014	42.0	50.7
2015	45.0	
2016	47.0	
2017	49.0	

**Additional information:** Grantees provide data on college completion in their Annual Performance Reports (APR). The Department's implementation of a Web-based annual performance report system that flags inconsistencies for grantees as they enter their data has led to more accurate reporting. A continuing shortcoming of these measures is that they only measure degree completion of participants who remain at the grantee institution because the grantees are unable to track the students who transfer and complete their degrees at other institutions. It is likely that some students complete their education at a different institution, and that the measures therefore understate performance. The Department has increased 2015-2017 targets for the Bachelor's degree measure to make them more ambitious.

**Measure:** The percentages of TRIO McNair participants enrolling and persisting in graduate school.

Year	Enrolling Target	Enrolling Actual	Persisting Target	Persisting Actual
2012	50.0%	70.8%	81.0%	86.3%
2013	69.0	72.5	82.0	77.2
2014	69.0	71.8	83.0	84.3
2015	70.0		84.0	
2016	70.0		84.5	
2017	71.0		85.0	

**Additional information:** The methodology for this enrollment measures counts as successes those McNair participants who enroll in graduate school within 3 years of postsecondary graduation. The reporting year in the table above represents the 3-year point of measurement. That is, 71.8 percent of McNair participants who graduated with their baccalaureate degree in 2011 had enrolled in graduate school by 2014.

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### Federal TRIO programs

#### Efficiency Measures

**Measure:** The cost per successful outcome.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Student Support Services Target	Student Support Services Actual
2012		\$471		\$4,518		\$1,648
2013	\$475	462	\$4,615	4,441	\$1,700	1,643
2014	475	453	4,600	4,134	1,690	1,595
2015	470		4,585		1,680	
2016	470		4,570		1,670	
2017	465		4,555		1,660	

**Additional Information:** The efficiency measure for the TRIO programs is the average annual cost per successful outcome, which is calculated by dividing the program's funding by the number of successful outcomes in each program in a given year. The definition of "successful outcome" varies by program; as a result, it is difficult to make valid comparisons across TRIO programs based on these data. For Talent Search and Upward Bound, participants are considered successful if they persist in high school, re-enter high school, or enroll in postsecondary school. For Student Support Services, participants are counted as successful if they graduate, transfer, or persist to the following academic year.

**Measure:** The Federal cost of each McNair program baccalaureate recipient who enrolls in graduate school within 3 years.

Year	Target	Actual
2012	\$35,000	\$27,790
2013	33,000	27,032
2014	33,000	25,029
2015	32,000	
2016	31,000	
2017	30,000	

**Additional information:** This measure is calculated by dividing the McNair funding allocation from the year in which participants graduated college by the number of college graduates from that cohort that enrolled in graduate school within 3 years. Note that the definition of success used in the McNair efficiency measure is particularly exclusive. For instance, participants who achieved their Bachelor's degree with the help of the McNair program but did not subsequently enroll in graduate school are not counted as successes according to this measure.

#### Other Performance Information

The Department has invested significant resources in evaluations and studies of the Federal TRIO Programs. Each TRIO evaluation and study was conducted independently by outside contractors that reported to the Department's evaluation offices. These studies are available at the following link: <http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#postsecondary>.

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### Federal TRIO programs

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The Institute of Education Sciences began a new evaluation of Upward Bound promising practices in 2013, as required by section 402H(b)(1) of the Higher Education Act. The study will support and test the use of practices aimed at improving college fit by evaluating the effectiveness of a professional development program for Upward Bound project staff on college enrollment outcomes for participating Upward Bound students. The intervention includes tools and resources, including information packets and a well-specified set of in-person college guidance strategies informed by recent research. The effort leverages work in the field to design effective informational materials on college costs and outcomes, application fee waivers, and guidance on colleges to which individual students could consider applying based on their location and standardized test scores. The training component will be designed so that it can be used with regular high school counselors or Upward Bound project staff to maximize the return on investment in the demonstration. The evaluation builds on the developing body of research suggesting that low-income students may not be attending colleges that match their academic abilities and career objectives, in part because they do not have adequate information about their college options. The Department expects to publish results from this evaluation in the fall of 2017.

## HIGHER EDUCATION

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### Gaining early awareness and readiness for undergraduate programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 2)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$322,754	\$322,754	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) provides 6-year grants to States and partnerships to support early college preparation and awareness activities at the State and local levels to ensure low-income elementary, middle, and secondary school students are prepared for and pursue postsecondary education. Applicants may also apply for an optional seventh year of funding to provide services at an institution of higher education to follow students through their first year of college attendance.

GEAR UP has two major service components. First, projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Second, projects provide college scholarships to participating students. In making awards to State applicants, the Department must give priority to funding entities that have carried out successful GEAR UP programs prior to enactment in 2008 of the Higher Education Opportunity Act; have a prior, demonstrated commitment to early intervention programs; and ensure that students previously served by GEAR UP programs receive services through the completion of secondary school. States and partnerships must provide matching funds of at least 50 percent of the total project costs with cash or in-kind contributions from nonfederal sources accrued over the full duration of the grant award. The Department may authorize a reduction in the required match for partnerships under certain circumstances.

GEAR UP supports two types of grants:

State Grants—States receiving funds are required to provide both an early intervention and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the

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funds must be used for early intervention services. State grantees must, unless they request and receive a waiver, hold in reserve funds for scholarships equivalent to the effective minimum

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Pell grant amount multiplied by the number of students the project is serving that the State estimates will enroll in an eligible institution of higher education. The State must make these funds available to eligible students who meet certain benchmarks. These scholarships are portable and may be used outside the State in which the GEAR UP program is located. States must provide all students served by the program with a personalized 21<sup>st</sup> Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

Partnership Grants— Partnerships must include one or more degree granting institutions of higher education, one or more local educational agencies, and at least two community organizations or entities such as businesses, professional associations, State agencies, or other public or private organizations. Partnerships receiving funds are required to provide an early intervention component to at least one cohort or grade level of students beginning no later than the 7<sup>th</sup> grade, in a school that has a 7<sup>th</sup> grade and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch—or to an entire grade level of students, not later than the 7<sup>th</sup> grade, who reside in public housing. Partnerships must ensure that services will continue to be provided through the 12<sup>th</sup> grade. Partnerships may also provide scholarships. Partnerships must provide all students served by the program with a personalized 21<sup>st</sup> Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

Of the amount appropriated for GEAR UP, not less than 33 percent must be used to fund State grants and not less than 33 percent must be used to fund Partnership grants, with the remainder being awarded at the Department's discretion, taking into consideration the number, quality, and promise of applications and, to the extent practicable, the geographic distribution of grants and the distribution of grants between urban and rural applicants. Additionally, the statute allows up to 0.75 percent of the funds appropriated to be used to conduct a national evaluation of the GEAR UP program.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.....	\$302,244
2013.....	286,435
2014.....	301,639
2015.....	301,639
2016.....	322,754

### FY 2017 BUDGET REQUEST

The Administration requests \$322.8 million in fiscal year 2017 for Gaining Early Awareness and Readiness for Undergraduate Programs, the same as the fiscal year 2016 level. The Administration's request for GEAR UP is based on the demonstrated promise of the program's approach, given indications that GEAR UP is making progress in achieving its near-term objectives, such as increasing students' and parents' knowledge of postsecondary opportunities and increasing rigorous course-taking. GEAR UP supports State efforts and builds partnerships within communities, targets entire cohorts of students in high-poverty middle schools, provides

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students with a full range of services through the 12<sup>th</sup> grade (in some cases through the first year of college), and offers scholarships to attend college. By targeting entire grades of students no later than the 7<sup>th</sup> grade, serving them throughout middle and high school, and providing them with scholarship funding, GEAR UP offers a unique approach to ensuring that low-income students have the skills and resources to attend college. Furthermore, the considerable State and local investments GEAR UP requires (both through the creation of partnerships and matching contributions) help ensure that the program will have a sustainable impact on the educational outcomes of low-income middle and high school students.

Most of the requested funds will be used to support continuation awards for State and Partnership grantees that were successful in the fiscal year 2011 and 2014 competitions. The 2014 competition included a focus on promoting practices aimed at improving college fit and readiness, and helping ensure students achieve the necessary milestones that provide a pathway to college success. The competition also encouraged projects designed to serve and coordinate with Promise Zones. The Department would use approximately \$54 million to conduct competitions for new State and Partnership awards. These competitions would further align the GEAR UP program with the Administration's evidence-building agenda. The Department would use the remaining funds to support evaluation and for the Web data collection contract, which enables the Department to collect and analyze performance data.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>State Grants:</b>			
Number of new awards	1	2	8
Average new award	\$2,669	\$3,250	\$3,375
Total new award funding	\$2,669	\$6,500	\$27,000
Number of continuation awards	36	37	31
Average continuation award	\$3,715	\$3,812	\$3,736
Total continuation award funding	\$133,751	\$141,052	\$116,156
Total award funding	\$136,420	\$147,552	\$143,156
Total number of awards	37	39	39
<b>Partnership Grants:</b>			
Number of new awards	3	6	14
Average new award	\$1,761	\$1,696	\$1,928
Total new award funding	\$5,283	\$10,180	\$27,000
Number of continuation awards	85	85	80
Average continuation award	\$1,813	\$1,843	\$1,873

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>Partnership Grants (continued):</b>			
Total continuation award funding	\$156,509	\$164,007	\$149,892
Total award funding	\$161,792	\$174,187	\$176,892
Total number of awards	88	91	94
<b>Total award funding:</b>			
Total new award funding	\$7,951	\$16,680	\$54,000
Total continuation award funding	\$290,261	\$305,891	\$266,049
<b>Evaluation</b>	\$3,300	0	\$2,200
<b>Peer review of new award applications</b>	0	0	\$322
<b>Web data collection</b>	\$125	\$183	\$183
<b>Total program funding</b>	\$301,639	\$322,754	\$322,754
<b>Total number of awards</b>	125	130	133

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

**Goal: To significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education.**

**Objective:** Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.



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**Measure:** The percentage of GEAR UP high school seniors who graduated from high school.

Year	Target	Actual
2012	86.0%	86.4%
2013	87.0	82.8
2014	87.0	86.5
2015	88.0	
2016	88.0	
2017	89.0	

**Additional Information:** This measure indicates the percentage of GEAR UP high school seniors that graduated from high school. That is, the denominator used in the calculation includes only GEAR UP participants who persisted until the 12<sup>th</sup> grade while the numerator includes participants who both persisted until the 12<sup>th</sup> grade and graduated. The figure reported for 2014 relates to the 2008 cohort. The Department indicated in the 2011 Notice Inviting Applications that, beginning with the 2011 award cohort, grantees are expected to report high school graduation using a 4-year adjusted cohort methodology. The Department will begin reporting using this revised methodology when these grantees submit their Final Performance Reports in fiscal year 2017.

**Measure:** The percentage of former GEAR UP high school graduates who immediately enrolled in college.

Year	Target	Actual
2012	60.0%	62.2%
2013	60.0	75.3
2014	61.0	77.3
2015	61.0	
2016	62.0	
2017	62.0	

**Additional Information:** This measure indicates the percent of GEAR UP students who graduated from high school and enrolled in postsecondary education the following September. Data from NCES provide context for these data. According to NCES, 65.9 percent of all high school completers enrolled in postsecondary education immediately following high school graduation in 2013. In that same year, 45.5 percent of low-income students enrolled in postsecondary education immediately following high school graduation, according to the same NCES research. The GEAR UP figure reported for 2014 relates to the 2008 cohort.

**Objective:** Increase the academic performance and preparation for postsecondary education of GEAR UP students.

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**Measure:** The percentage of GEAR UP students who enrolled in pre-algebra by the end of the 8<sup>th</sup> grade who passed the course and the percentage of GEAR UP students enrolled in Algebra I by the end of the 9<sup>th</sup> grade who passed the course.

Year	Pre-algebra Target	Pre-algebra Actual	Algebra I Target	Algebra I Actual
2012	33%	41.3%	51%	61.0%
2013	33	37.3	51	62.7
2014	34	60.4	53	58.3
2015	34	58.3	53	67.7
2016	55		54	
2017	55		54	

**Additional Information:** This measure tracks completion rates for two mathematics classes that research has shown are key indicators of college readiness. Data for this measure, collected through Annual Performance Reports, reflect student completion levels from the prior year. It should be noted that, as the measure tracks only the percentage of those students who are enrolled that pass the class, the percentage of the entire cohort who are on the path to college-readiness is likely to be considerably lower. Prior to 2014, GEAR UP projects reported on the percentage of students that completed Pre-Algebra by the end of 7<sup>th</sup> grade. The Department subsequently revised the measure to track 8<sup>th</sup> grade completion; consequently, the targets for 2016 and 2017 have been increased.

### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as enrollment in postsecondary education by GEAR UP students immediately following high school graduation. The Department calculates this measure by dividing the annual funding supporting closeout grantees (grantees serving cohorts of 12<sup>th</sup> graders) by the total number of postsecondary enrollees they produce. For instance, grantees that began serving 7<sup>th</sup> graders in 2008 would be expected to enroll their participants in college in the fall of 2014. Using this methodology, the annual cost per successful outcome for this GEAR UP cohort was \$1,748. The Department provided approximately \$58 million per year to the grantees in this cohort, which produced 33,412 postsecondary enrollees. It is important to note that this measure uses the strictest possible definition of “successful outcome.” For instance, students from this cohort who graduate high school with the help of GEAR UP programs but do not enroll in postsecondary education are not considered “successes” under this methodology.

### Other Performance Information

In 2001, the Department began an evaluation on the early effects of the GEAR UP program. This study, which was released in 2008, reported on the program’s impact on participants attending middle schools and their parents, and the effects of GEAR UP on middle schools and on the sustainability of the program’s activities after Federal funds are no longer available. The study did not report on two key outcomes of interest—secondary school graduation and postsecondary enrollment—because the data were not yet available. Overall, the study found that GEAR UP had significant impacts on students’ and parents’ knowledge and behavior and

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on the academic offerings at GEAR UP schools. The study is available at the following link: (<http://www2.ed.gov/rschstat/eval/highered/gearup/early-outcomes.pdf>).

#### *Current evaluation:*

In fiscal year 2014, the Department began using GEAR UP evaluation funds to undertake a rigorous study of college access strategies designed to improve GEAR UP students' college enrollment and completion. The findings from this evaluation will be useful to GEAR UP grantees as they search for promising practices to incorporate into their projects, and also to policymakers seeking to enhance current college access efforts.

Specifically, the Department used approximately \$5.5 million of fiscal year 2014 and 2015 funds to test a low-cost communication strategy that employs commonly used technology to provide college-intending high school graduates in the GEAR UP program and their parents with customized reminders about college enrollment-related tasks. The study is based on research indicating that although academic preparation and financial circumstances continue to drive disparities in postsecondary enrollment and completion, a substantial number of low-income students fail to enroll in and complete college simply because they fall off track trying to navigate the complex process of applying to, enrolling in, and staying in college (Bowen, Chingos, and McPherson, 2009; Roderick, Nagaoka, Coca, and Moeller, 2008).

The study targets GEAR UP high school seniors intending to enroll in college and will provide them with a series of electronic communications through text messages and emails throughout the summer and into the fall of their first expected year of college. The messages will remind students about key college-related tasks they need to complete, customized to the specific activities and deadlines of the colleges or universities in which they intend to enroll. The reminders will focus on matriculation-related tasks such as award letters, fees, orientation and registration timelines and requirements, and early steps in college, such as meeting with advisors, connecting with campus support services, and FAFSA renewal. In addition, the messages will assist program participants in ensuring that they obtain scholarship funds made available through their GEAR UP projects. The Department expects to publish a report assessing the intervention's impact on college matriculation rates by December 2018, followed by a report assessing the impact on FAFSA renewal and college persistence rates in the spring of 2020.

By testing a strategy targeted to students as they matriculate into college, the study will take advantage of a significant change Congress made to the GEAR UP program in the Higher Education Opportunity Act of 2008 (HEOA)—allowing new grantees to obtain a 7th year of funding to serve participants who are enrolled as freshmen in college. The vast majority of the GEAR UP grantees that received their awards from the first post-HEOA competition in fiscal year 2011 sought and received this 7th year of funding and, thus, will be serving college freshmen in 2017-2018. This study, therefore, will produce knowledge about strategies that GEAR UP projects have never before implemented, and potentially inform the development of future competitions and project proposals.

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### Graduate assistance in areas of national need

(Higher Education Act of 1965, Title VII, Part A, Subpart 2)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$29,293	\$29,293	0

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

Graduate Assistance in Areas of National Need (GAANN) provides fellowships, through 3-year grants to degree-granting postsecondary institutions, to graduate students of superior ability and high financial need studying in areas of national need. The Department may also award grants to non-degree-granting institutions that have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. Applicants must set forth policies and procedures identifying the specific strategies they will use to identify and support talented students from traditionally underrepresented backgrounds. To be eligible for a fellowship, students must be pursuing a doctoral degree or the highest degree in the academic field at the institution of higher education (IHE) they are attending, have excellent academic records, and demonstrated financial need.

After consultation with appropriate agencies and organizations, such as the National Science Foundation, the Department of Defense, and the Department of Homeland Security, the Department designates those fields of study that are considered “areas of national need” by taking into account the extent to which such areas fulfill a compelling national interest, the extent to which other Federal programs support post-baccalaureate studies in such areas, and the most significant impact that can be made with available resources. The designated areas of national need for the most recent competition were: area studies; biological sciences/life sciences; chemistry; computer and information sciences; engineering; foreign languages and literatures; mathematics; nursing; physics; and educational evaluation, research, and statistics.

Institutions use program funds to award fellowships of up to 5 years of study. Each fellowship consists of a student stipend to cover living costs, and an institutional payment to cover each fellow's tuition and other expenses. The stipend is the lesser of demonstrated need or the level of support provided by the National Science Foundation's Graduate Research Fellowships program. The institutional payment is adjusted annually based on the Consumer Price Index.

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### Graduate assistance in areas of national need

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Institutions must match 25 percent of the Federal grant amount. The institutional match may be used for the following: to provide additional fellowships to graduate students not already receiving institutional or GAANN fellowships; to meet the cost of tuition, fees, and other instructional costs that are not covered by the institutional payment; and to supplement the stipend received by a fellow in an amount not to exceed the fellow's financial need. Institutions must also provide fellows with at least 1 year of supervised training in instruction for students.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012 .....	\$30,909
2013 .....	29,293
2014 .....	29,293
2015 .....	29,293
2016 .....	29,293

### FY 2017 BUDGET REQUEST

The Administration requests \$29.3 million for the GAANN program for fiscal year 2017, the same as the fiscal year 2016 level. All of the program funds would be used to cover the continuation costs of awards made under the program in 2015 and 2016.

Through its support of graduate study in key disciplines, GAANN helps address the problem of insufficient numbers of students pursuing graduate degrees in critical scientific and technical fields and other areas of national need. GAANN provides students with superior ability and financial need with the resources that they need to pursue graduate studies. The request recognizes the role that graduate education plays in the advancement of national prosperity and demonstrates the Administration's commitment to educational achievement at the graduate level and providing greater postsecondary access to students in financial need and those from traditionally underrepresented backgrounds.

In 2015, the Administration made 125 new awards to eligible institutions of higher education to provide approximately 500 fellowships to students pursuing graduate study in areas of national need. In 2016, the Administration plans to fund down the 2015 slate to make approximately 20 new awards to provide 92 additional fellowships. The Administration will use fiscal year 2017 funds to support continuation costs for these ongoing fellowships.

In 2015, the last year in which a competition was conducted, the numbers of awards by eligible academic discipline were as follows: area studies – 1; biology – 15; chemistry – 18; computer science – 9; education – 3; engineering – 34; foreign languages – 3; interdisciplinary – 19; mathematics – 24; nursing – 4; and physics – 6.

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Number of new awards	95	20	0
Number of new fellowships	475	89	0
Average new award	\$246	\$219	0
Total new award funding	\$23,376	\$4,383	0
Number of NCC awards	24	101	115
Number of NCC fellowships	114	504	564
Average NCC award	\$234	\$183	\$202
Total NCC funding	\$5,622	\$24,910	\$29,293 <sup>1</sup>
Average institution payment	\$15	\$15	\$16
Average stipend	<u>\$34</u>	<u>\$34</u>	<u>\$34</u>
Total average fellowship	\$49	\$49	\$50
Peer review of new award applications	\$293	0	0
Funds returned to Treasury	\$2 <sup>2</sup>	0	0
Total number of awards	119	121	115
Total number of fellowships	589	593	564
Total program funding	\$29,293	\$29,293	\$29,293

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<sup>1</sup> In fiscal year 2017, approximately \$867 thousand will be used to forward fund continuations for 2018.

<sup>2</sup> Awards are statutorily required to be equivalent in size to the National Science Foundation fellowships. Therefore, a portion of the program's appropriation often remains unspent after the maximum number of fellowships of the predetermined size are awarded. These remaining funds expire and are returned to Treasury.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

**Goal:** To increase the number of persons trained at the highest academic level.

**Objective:** To increase the number of students of superior academic ability completing the terminal degree in designated areas of national need in order to alleviate that need.

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### Graduate assistance in areas of national need

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**Measure:** The percentage of GAANN fellows completing the terminal degree in the designated areas of national need.

Year	Target	Actual
2012	59%	60%
2013	59	67
2014	60	
2015	60	
2016	60	
2017	60	

**Additional Information:** The data used to calculate performance for this measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The data are calculated by dividing the number of GAANN fellows in the last year of their fellowships who have successfully completed their doctoral studies by the total number of GAANN fellows who are in the last year of their fellowships.

Because a fellow can receive no more than 5 years of funding and most doctoral students take 6-7 years to complete their doctoral programs, advancing to candidacy is used as a proxy for degree completion where appropriate. Use of such proxy data may inflate the performance data, as most, but not all, doctoral candidates who advance to candidacy actually complete their doctoral degrees. In fiscal year 2013, GAANN fellows exceeded the target completion rate for the seventh year in a row. In fiscal year 2016, the Department plans to reconsider targets.

**Measure:** Median time to degree completion (years).

Year	Target	Actual
2012	5.0	4.9
2013	5.0	5.2
2014	5.0	
2015	5.0	
2016	5.0	
2017	5.0	

**Additional Information:** This measure, along with the completion rate measure, shows that the program supports fellows who have a high likelihood of successfully completing their degree in a relatively short period of time. Data collected through annual performance reports show that the program had a median time to completion of 5.2 years in 2013.

According to the most recent publicly available national data provided by the National Opinion Resource Center's annual "Survey of Earned Doctorates," the median time to doctoral degree completion for all graduate programs in the United States was 7.7 years in 2012. During that same period, the average time to completion was 6.7 years for the physical sciences, 6.7 years for engineering, and 6.9 years for life sciences. These figures are not directly comparable to those of the GAANN program, insofar as the GAANN measures begin counting years to completion at first enrollment in any type of graduate education, not just doctoral study. For example, the GAANN completion rate includes students in Master's programs who are likely to complete their degrees in a shorter number of years than doctoral students. However, research

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### Graduate assistance in areas of national need

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shows that students with financial need, such as those served by the GAANN program, typically take longer to complete terminal graduate degrees than the national student body as a whole. Accordingly, achieving a level of performance that is comparable or better than the national average for graduate students suggests that the program is successfully meeting its performance goal. Notably, the median time to completion for GAANN fellows has held steady around 5.0 years since 2007.

#### Efficiency Measure

The efficiency measure for this program is the cost of a successful outcome, where success is defined as terminal graduate program completion. This measure is directly tied in with the program's performance measures.

**Measure:** Cost per PhDs and those who pass preliminary exams.

Year	Target	Actual
2012	\$69,500	\$54,894
2013	69,000	64,000
2014	68,500	
2015	68,500	
2016	68,500	
2017	68,500	

The data used to calculate the efficiency measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The data are calculated by dividing the total amount of Federal funds provided to support a cohort of fellows for the 3 years of the grant period by the number of GAANN fellows who complete their degree or successfully advance to candidacy during the 5-year fellowship period. As the efficiency measure is based on data from a relatively small number of students, significant year-to-year fluctuations may be expected. This may reduce the usefulness of the measure at the program level. However, given the improvements in cost per outcome since 2005, more ambitious targets have been established for 2011 through 2015. The Department plans to reconsider targets in fiscal year 2016.

#### Other Performance Information

A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on educational and employment outcomes of participants in the Department's graduate fellowship programs, including the GAANN program. The study found that about 78 percent of GAANN fellows had completed their degree within 10 years and another 9 percent were still pursuing their degrees; in comparison, 62 percent of all U.S. students who enrolled in a graduate degree program completed their degrees and 15 percent were still enrolled in that program. The study also found that the average time to degree completion for GAANN fellows was 6 years, compared to 8 to 9 years for all U.S. graduate students in comparable fields, based on the "Survey of Earned Doctorates." The final report was published in September 2008 and can be found at: <http://files.eric.ed.gov/fulltext/ED526947.pdf>.



## HIGHER EDUCATION

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### Child care access means parents in school

(Higher Education Act of 1965, Title IV, Part A, Subpart 7)

(dollars in thousands)

FY 2017 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
\$15,134	\$15,134	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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### PROGRAM DESCRIPTION

The Child Care Access Means Parents in School (CCAMPIS) program is designed to support the participation of low-income parents in postsecondary education through campus-based child care services. Under this program, discretionary grants of up to 4 years in duration are awarded competitively to institutions of higher education. Priority is given to child care programs that (1) leverage significant local or institutional resources and (2) utilize a sliding fee scale.

Institutions may use the funding to support or establish a campus-based child care program primarily serving the needs of low-income students enrolled at the institution. Grants may also be used to provide before- and after-school services. The authorizing statute defines a "low-income student" as a student eligible to receive a Pell Grant during the year of enrollment at the institution or who would otherwise be eligible to receive a Pell Grant, except that the student fails to meet the requirements of: (1) Section 401(c)(1) of the Higher Education Act (HEA) because the student is enrolled in a graduate or first professional course of study; or (2) Section 484(a)(5) of the HEA because the student is in the United States for a temporary purpose. Grants are only to be used to supplement existing child care services or start a new program. Funds may not be used for grants that supplant funds for current child care services.

An institution is eligible to receive a grant if the total amount of Pell Grant funds awarded to students at the institution for the preceding fiscal year equals or exceeds \$350,000. When the appropriation for the program reaches \$20 million, this amount decreases to \$250,000. The maximum grant award cannot exceed 1 percent of the total amount of all Pell Grant funds awarded to students enrolled at the institution during the preceding fiscal year. The minimum grant amount is \$10,000. This amount increases to \$30,000 when the program's appropriation reaches \$20 million.

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### Child care access means parents in school

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Grantees must submit annual reports to the Department regarding their activities. The reports must contain data on the population served by the grant; information on campus and community resources and funding used to help low-income students access child care services; information on progress made toward accreditation of any child care facility; and information on the impact of the grant on the quality, availability, and affordability of campus-based child care services. An institution receives a continuation award only if the Department determines, on the basis of the annual reports, that the institution is making a good faith effort to ensure that low-income students have access to affordable, quality child care services.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2012.. .....	\$15,970
2013.. .....	15,134
2014.. .....	15,134
2015.. .....	15,134
2016.. .....	15,134

### FY 2017 BUDGET REQUEST

The Administration requests \$15.1 million in fiscal year 2017 for the Child Care Access Means Parents in School (CCAMPIS) program, the same as the fiscal year 2016 level. The CCAMPIS program helps to ensure that low-income student parents enroll in, persist in, and complete postsecondary education by helping to meet their needs for affordable and convenient child care. All of the funds requested for the CCAMPIS program in fiscal year 2017 would support continuation awards.

Data from the National Center for Education Statistics “Descriptive Summary of 2003-04 Beginning Postsecondary Students: Three Years Later,” a longitudinal study (2004-2006), indicated that by 2006, 56 percent of students who were single parents when they first began at a 4-year institution were no longer enrolled and had not completed any certificate or degree, compared to 15 percent of dependent students (students under 24, unmarried, and with no dependents of their own). Similarly, research shows that at 2-year public institutions, 60 percent of beginning postsecondary students who were single parents in 2003-2004 were no longer enrolled and had not completed any certificate or degree—23 percentage points higher than the rate for dependent students. One barrier to completion for students with dependents, especially low-income students and single parents, is the lack of convenient and affordable quality child care services.

Fiscal year 2017 funding maintains support to enable institutions to sustain or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; subsidize the costs of child care for low-income students; and establish programs involving parents.

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### Child care access means parents in school

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Number of NCC awards	85	85	85
Average NCC award	\$178	\$178	\$178
Total NCC award funding	\$15,134	\$15,134	\$15,134
Total award funding	\$15,134	\$15,134	\$15,134
Total number of awards	85	85	85

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2017 and future years, as well as the resources and efforts invested by those served by this program.

The Department recently dropped a performance measure that focused on completion rates at 4-year grantee institutions. The methodology used for this measure was problematic because the denominator included students who had not been in school long enough to graduate even if they persisted without interruption. The Department does not plan to replace this measure. CCAMPIS grantees at 4-year institutions will continue to be required to submit completion rate data for students served by their projects, however, the data will not be aggregated to obtain completion rates at 4-year CCAMPIS grantee institutions.

**Goal:** To support the participation of low-income parents in the postsecondary education system through the provision of campus-based child care services.

**Objective:** Increase access for low-income parents to postsecondary institutions.

**Measure:** Percentage of CCAMPIS program participants enrolled at CCAMPIS grantee institutions receiving child care services who remain in postsecondary education at the end of the academic year, as reported in the annual performance report.

Year	4-year/2-year Target	4-year/2-year Actual	4-year Target	4-year Actual	2-year Target	2-year Actual
2012		61.2%		69.3%		49.2%
2013		45.8		46.4		45.0
2014	TBD					
2015	TBD					
2016	TBD					
2017	TBD		TBD		TBD	

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**Additional information:** The overall persistence rate in 2013 for students participating in the CCAMPIS program is 45.8 percent (3,466 out of 7,566 student participants). The persistence rate for 2013 is calculated by dividing the total number of students participating in the program in academic year 2012-2013 by the number of students who were either still attending, had transferred from a 2-year institution to a 4-year institution of higher education, or had graduated during academic year 2012-2013. Data for the 2014 persistence rate of program participants, i.e., students who participated in the program in academic year 2013-2014, who, as of academic year 2013-2014 are either still attending, had transferred from a 2-year institution to a 4-year institution of higher education, or had graduated will be available in March 2016. The Department expects to establish targets for this measure in March 2016.

**Measure:** Percentage of CCAMPIS program participants enrolled at 2-year CCAMPIS grantee institutions receiving child care services who graduate from postsecondary education within 3 years of enrollment.

Year	2-year Target	2-year Actual
2012		31.0%
2013		35.0
2014		
2015		
2016		
2017	TBD	

**Additional information:** The CCAMPIS program began reporting data for graduation rates at 2-year CCAMPIS grantee institutions in 2012. More specifically, the program is now reporting data collected from CCAMPIS grantee participants enrolled at 2-year CCAMPIS grantee institutions who graduate within 3 years of enrollment. The 2-year graduation measure is consistent with the Department's standard graduation rate for 2-year institutions, calculated as the percentage of recipients who graduated from their postsecondary institution within 150 percent of normal completion time. This means graduating within 3 years of beginning studies at a 2-year institution. The 2013 graduation rate for students participating in the CCAMPIS program from 2-year institutions is 35 percent, an increase of 4 percentage points as compared to the 2012 rate of 31 percent. The Department expects to establish targets for the new completion measure in March 2016.

### Annual Performance Report Data

The annual performance report (APR) data form grantees use to submit performance data to the Department requires the CCAMPIS project director and a certifying official at the institution to certify that the information reported in the APR is accurate, complete, and readily verifiable. All student participants are assigned a unique CCAMPIS participant identification (ID) number that is used to track them throughout their postsecondary education. Grantees use the same number for individual participants each time annual data are reported to the Department. Also, grantees code whether individual participants have:

- Completed the term without completing his/her studies, graduating, transferring, or withdrawing during the term or at the end of the term;

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- Earned a certificate/diploma, associate's, bachelor's, or teaching credential during or at the end of the term;
- Transferred from a 2-year institution of higher education to a 4-year institution or from one 4-year institution to another 4-year institution during or at the end of the term;
- Officially withdrawn from the grantee-institution during the term;
- Not returned/dropped out/stopped out from the grantee-institution (without official notification to the institution) during the term;
- No further need for CCAMPIS funded services (examples: student is no longer eligible for Pell Grants; family member cares for the child; child aged out of care; etc.); and
- Participated in the CCAMPIS program while enrolled at the grantee-institution or declined CCAMPIS participation at any point while enrolled.

### Efficiency Measure

The efficiency measure tracks student cost per successful outcome.

**Measure:** Federal cost per CCAMPIS student enrolled at CCAMPIS-grantee institutions receiving child care services who remain in postsecondary education at the end of the academic year, as reported in the annual performance report.

Year	Target	Actual
2012		\$5,757
2013		4,608
2014		
2015		
2016		
2017	TBD	

**Additional information:** For 2013, the cost per successful outcome of \$4,608 was calculated by dividing the program allocation of \$15,969,760 by 3,466, the total number of students receiving child care services who remain in postsecondary education at the end of the academic year at 4-year and 2-year CCAMPIS-grantee institutions. The Department plans to establish targets for this program in fiscal year 2016.

### Other Performance Information

Data from the 2008 National Postsecondary Student Aid Study showed that:

- The majority of Pell Grant recipients with children under 12, like Pell Grant recipients overall and Pell Grant recipients with no children, were non-White, female, and single, widowed, or divorced. Pell Grant recipients with children of child care age were more likely than those without children to be women (81 versus 57 percent, respectively); Black, non-Hispanic (29 versus 21 percent); and married (32 versus 4 percent).

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- Approximately 49 percent of Pell Grant recipients with children under age 5 and 31 percent of those whose youngest child was 5 to 11 reported using child care. Among Pell Grant recipients with children, those who reported using child care were more likely to be single parents than those not using child care, 72 percent compared to 54 percent.
- Child care was a major expense for Pell Grant recipients who used it. Average monthly child care expenditures for Pell Grant recipients with children under age 5 was higher than child care expenditures for those with children ages 5 to 11 (\$390 versus \$288 per month). On an annualized basis, the average child care expenditures for recipients with children under age 5 was \$4,680, versus \$3,450 per year.

Data from the 2009 and 2010 Grantee Performance Reports submitted in 2011 showed that:

- Forty-six percent of the institutions served are 2-year public institutions, 51 percent are 4-year public institutions, and the remaining 3 percent are 4-year private institutions.
- Nearly all CCAMPIS participants were Pell Grant recipients (89 percent) and the vast majority were female (85 percent). In terms of race/ethnicity, the largest proportion of participants was White (48 percent), and a sizable minority were Hispanic or Latino (22 percent).

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### Teacher and principal pathways

(Proposed legislation)

(dollars in thousands)

FY 2017 Authorization: To be determined

Budget Authority:

<u>2016</u>	<u>2017</u>	<u>Change</u>
0	\$125,000	+\$125,000

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### PROGRAM DESCRIPTION

The proposed Teacher and Principal Pathways (TPP) program is designed to help institutions of higher education (IHEs) and nonprofit organizations, working closely with high-need school districts, carry out effective teacher and principal preparation. Promoting a variety of high quality pathways into teaching and school leadership is an essential component of the Administration's strategy for ensuring that new teachers and principals receive the training they need to serve in high-need schools and for addressing inequities in access to effective and highly effective educators. The TPP program will have two components – Teacher Pathways and Principal Pathways.

#### Teacher Pathways

Teacher Pathways would fund competitive grants to IHEs and nonprofit organizations to support the creation or expansion of high quality pathways into the teaching profession. These pathways would emphasize partnerships with high-need local educational agencies (LEAs) that are designed to increase the number of effective and highly effective teachers serving in high-need schools. The Teacher Pathways program would build on and replace current efforts to improve teacher preparation through the Teacher Quality Partnership (TQP) program, which is more prescriptive about the particular program improvement activities that IHEs can implement.

Under the Teacher Pathways program, priority would be given to applicants that propose to (a) expand teacher preparation programs with a strong track record of successfully placing teachers in high-need schools and subject areas and whose diverse pool of teachers have high retention rates and a demonstrated positive impact on student learning, or (b) replicate preparation models, or their components, with evidence of promise or effectiveness in preparing and placing a diverse pool of effective teachers in high-need schools and subject areas or that propose a new model that uses evidence-based practice to improve the effectiveness and diversity of their graduates. In addition, applicants would need to demonstrate formal partnerships with high-need LEAs or strong historical demand for a program's graduates from high-need LEA hiring authorities. Grantees would be required to maintain specialized accreditation or to demonstrate that their graduates have content and pedagogical knowledge, high-quality clinical preparation, and meet rigorous exit requirements.

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The program would promote rigorous recruitment practices coupled with a competitive selection process, based on research indicating that these program components are critical to identify a diverse pool of teacher candidates who are likely to have a positive impact on their students. For example, grantees could raise admission standards to ensure that participants were in the top third of the distribution of all aspiring applicants, accounting for academic measures (such as GPA) or non-academic measures (such as leadership skills). Grantees could also improve the quality of the program's training in ways such as incorporating significant practical experience in the classroom.

Other key goals of the program would include preparing teachers to teach to high standards that will prepare students for college and careers and to meet the needs of high-need schools and areas (including rural areas), hard-to-staff fields and subjects (such as science, technology, engineering, and mathematics (STEM)), or high-need students (such as English learners and students with disabilities). Programs preparing teachers under both “traditional” and “alternative” routes to State certification or licensure would be eligible for funding. The Administration may give priority to applicants focused on improving the preparation of STEM teachers, consistent with the program's emphasis on preparing more teachers for high-need fields and subjects and the President's goal of developing 100,000 new effective and highly effective STEM teachers while also building evidence on the characteristics and requirements of high quality STEM teacher preparation programs.

### Principal Pathways

Principal Pathways would fund competitive grants to principal preparation programs operated by IHEs and nonprofit organizations, in partnership with high-need LEAs, to support the creation or expansion of high quality pathways that prepare participants to be effective principals in high-need schools. The Principal Pathways program would build on current Department efforts under the reauthorized School Leader Recruitment and Support program, the successor to the School Leadership program, which includes a focus on in-service professional development.

Similar to the Teacher Pathways program, the Principal Pathways program would promote rigorous recruitment and competitive selection of principal candidates, including innovative ways to recruit candidates with experience as an effective teacher, and to identify those with the strongest potential to be effective school leaders in high-need schools. Projects would provide instruction, practice, and feedback aimed at helping aspiring principals to master essential school leadership skills, such as evaluating and providing feedback to teachers, using student data to inform decisions, developing school leadership teams, strengthening the capacity of school staff through distributive leadership models, and creating a supportive school environment with a culture of high expectations. The program would also support projects that deepen aspiring principals' understanding of college- and career-ready standards and effective instruction aligned to those standards.



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Projects would also include activities aimed at improving the effectiveness of principals' managers, such as by providing coaching or support for district superintendents, based on research showing that district-level staff can play an important role in helping develop and retain strong principals.<sup>1</sup>

Principal Pathways applicants would need to demonstrate formal partnerships with high-need LEAs or strong historical demand for program graduates from LEA hiring authorities. Successful applicants would commit to using evidence-based approaches to training effective new principals, especially those who are prepared to lead high-need schools, and to conducting rigorous evaluations of innovative strategies to help build the evidence base about what works to train effective principals.

### FY 2017 BUDGET REQUEST

The Administration requests \$125.0 million for the Teacher and Principal Pathways in fiscal year 2017: \$90.0 million for the Teacher Pathways program and \$35.0 million for the Principal Pathways program, an overall increase of \$81.9 million above the fiscal year 2016 level for the TQP program. Not less than 5 percent of the program funds would be awarded to HBCUs and MSIs.

Great teachers and principals matter enormously to the learning and the lives of children. Every parent knows it, and study after study proves it. However, research has made it clear that too many teacher and principal preparation programs today are not equipping educators with the skills they need to be successful. The Teacher and Principal Pathways programs would support evidence-based investments in the recruitment, competitive selection, preparation, placement and retention of new teachers and principals to meet the specific needs of low-performing schools and high-need LEAs. By supporting effective approaches to identifying, training, placing, and supporting teachers and principals, the Administration believes we can make a meaningful impact on the overall quality of the teaching and learning happening every day in America's schools.

### Teacher Pathways

Teaching is one of the most important and challenging careers. Increasingly, research indicates that of all the school-related factors that impact student academic performance, great teachers matter most.<sup>2</sup> Yet new research shows that many teacher preparation programs offer inflated grades and too little rigorous training.<sup>3</sup> Far too many teachers report they are unprepared when they first enter the classroom after completing their teacher preparation program. New teachers are entering the profession as schools are beginning to implement rigorous academic standards that are designed to improve student outcomes. Furthermore, our schools face an imbalance of

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<sup>1</sup> Bételle, Tara, et al., "Stepping Stones: Principal Career Paths and School Outcomes," CALDER Working Paper No. 58 (2011); Mitgang, Lee, "Districts Matter: Cultivating the Principals Urban Schools Need," Wallace Foundation (2013).

<sup>2</sup> RAND Corp., "Teachers matter: Understanding teachers' impact on student achievement" (2012).

<sup>3</sup> National Council on Teacher Quality, "Training Our Teachers: Easy A's and What's Behind Them" (2014).

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supply and demand; far too many candidates are certified in fields with limited job availability, such as elementary education, while there are shortages of teachers in high need grade spans and subjects.

These current weaknesses in teacher preparation have been shown to harm students of new teachers with weak preparation backgrounds. One study found that the difference in student learning outcomes in mathematics between the top-performing teacher preparation program and the lowest-performing program can be greater than the effect of poverty.<sup>1</sup>

To help address these challenges, the Administration has proposed regulations designed to strengthen teacher preparation programs. These proposed regulations call for States to measure the performance of teacher preparation programs through outputs, ensure that their graduates are prepared to work and stay in our most challenging schools, identify and reward the top performing programs, and facilitate continuous improvement in all programs.

States and communities are developing promising, innovative approaches to preparation focused on equipping teachers with strong content knowledge coupled with robust practical experience. For example, the American Museum of Natural History in New York City, in partnership with New York State, middle and high schools, and the Center for Education Policy, Applied Research, and Evaluation at the University of Southern Maine, received a Teacher Quality Partnership (TQP) grant to refine, expand, and institutionalize its pilot residency program that grants Master of Arts in Teaching degrees with a Specialization in Earth Science for grades 7–12. The project integrates theory with practice and is specifically focused on high-need, urban schools with diverse student populations, including English learners and students with special needs.

The Department is also beginning a study to determine the feasibility and design of a large-scale impact evaluation of teacher preparation and professional development.<sup>2</sup> This work will identify high-leverage aspects of teacher preparation, support a rigorous impact evaluation, and collect information from potential providers and study participants to inform study options.

Finally, the Department has worked closely with States through the Excellent Educators for All Initiative to help ensure that all students have access to great teachers and leaders and meet the need to attract and retain great teachers in high-need schools. Under this initiative, all 50 States developed and submitted State Plans to Ensure Equitable Access to Excellent Educators (State Plans) to the Department. These State Plans identify the most critical gaps in the rates at which students from low-income families and students of color are taught by inexperienced, unqualified, and out-of-field teachers and outline the strategies that States will implement to eliminate these gaps. The new Teacher Pathways program would be an important tool for States and districts as they implement their strategies to address the significant need for better, more responsive teacher preparation.

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<sup>1</sup> Goldhaber, Dan, et al., “The Gateway to the Profession: Assessing Teacher Preparation Programs Based on Student Achievement,” *Economics of Education Review* (2013).

<sup>2</sup> “Feasibility and Design of an Impact Evaluation of Teacher Preparation and Professional Development,” [http://ies.ed.gov/ncee/projects/evaluation/tq\\_feasibility.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_feasibility.asp).

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#### Principal Pathways

Effective principals are crucial to strengthening teaching and school communities. Second only to classroom instruction, school leadership is the most important school-based variable affecting student achievement.<sup>1</sup> Emerging research shows that effective leaders play a critical role in students' academic success, especially in high-need schools, by creating cultures of high expectations and by recruiting and retaining highly effective teachers.<sup>2</sup> A school leader directly impacts the quality of instruction through hiring decisions of instructional staff and decisions about professional development activities.<sup>3</sup> Effective principals also provide instructional leadership in addition to carrying out administrative responsibilities.<sup>4</sup> Teachers cite a principal's support and effectiveness as a leading factor that contributes to their decisions to remain in the profession.<sup>5</sup> Highly effective school leaders make teachers feel valued and allow them to focus on student learning, inducing them to stay in the classroom.<sup>6</sup> Effective leaders also create a vision of academic success for all children in their schools and encourage other educators to take on leadership roles and responsibilities.

The Department has begun to help build evidence around what successful principal preparation looks like. For example, the 2013 School Leadership competition encouraged applicants to address the challenges of preparing and supporting principals through projects that would help expand the evidence base for high quality principal preparation, professional development for principals, or both. In addition, the Department launched the Turnaround School Leaders Program (TSLP) in fiscal year 2014 using national activities funds under the School Improvement Grants (SIG) program. Although no longer authorized under the ESEA, the TSLP provided grants to LEAs to help ensure that leaders of schools eligible for or receiving SIG funds possess the specialized skills needed to drive successful efforts to turn those schools around. Finally, the Department has begun an evaluation of the impact of support for principals on teacher retention, effectiveness of instructional staff, and student academic achievement.<sup>7</sup>

Greater investment is needed specifically for stronger recruitment, competitive selection, preparation, and placement of leaders for the critical role of principal, especially for high-need schools. In particular, high-poverty schools are more likely to be led by principals who are weaker on various quality measures (including leadership ratings from staff and years of

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<sup>1</sup> Leithwood, Kenneth, et al., "How Leadership Influences Student Learning" (2004).

<sup>2</sup> Loeb, Susanna, et al., "Effective Schools: Teacher Hiring, Assignment, Development, and Retention," *Journal of Education Finance and Policy* (2012).

<sup>3</sup> Papa, Frank, et al., "Hiring Teachers in New York's Public Schools: Can the Principal Make a Difference?" (2003).

<sup>4</sup> Wallace Foundation, "The School Principal as Leader: Guiding Schools to Better Teaching and Learning" (2013).

<sup>5</sup> Futernick, Ken, "A Possible Dream: Retaining California Teachers So All Students Can Learn," California State University (2007).

<sup>6</sup> Ikemoto, Gina, et al., New Leaders, "Playmakers: How great principals build and lead great teams of teachers" (2012).

<sup>7</sup> "Impact Evaluation of Support for Principals," [http://ies.ed.gov/ncee/projects/evaluation/tq\\_principals.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp)

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experience) than those in lower poverty schools.<sup>1</sup> Strong principals are essential to the improvement of low-performing schools and are vital for schools to retain their strongest teachers.<sup>2</sup> Further, many candidates who enter existing leadership training programs never use their credentials to become a principal or obtain other administrative positions.

### National Leadership Activities

The Department would reserve up to 5 percent of the TPP request for national leadership activities, including technical assistance to States to strengthen teacher preparation reporting and accountability; align preparation program policies and processes such as approval, monitoring, and support processes; integrate preparation and placement strategies with approaches to ongoing support, retention and advancement; and capacity-building assistance so that States can help struggling preparation programs improve. A portion of the national leadership activities set-aside would also be used to support the development of teacher and principal survey tools, aligned with new requirements under the Department's proposed Title II regulations, that States could use to gather feedback about teacher preparation programs from graduates and their employers; results would help inform the development of more meaningful teacher preparation accountability systems. The Department would reserve an additional 0.5 percent for evaluation.

The Teacher Pathways and Principal Pathways programs would replace the current TQP program. This proposed change is consistent with a longstanding principle of the Administration's policy to replace small, narrowly targeted, categorical programs with broader, more flexible authorities that better meet local needs. The purpose of the TQP program would be realized more effectively through the new Teacher and Principal Pathways programs. Continuation costs for the TQP program in fiscal year 2017 would be funded from the appropriation for the Teacher and Principal Pathways programs.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2017</u>
<u>Teacher Pathways</u>	
Funding for new awards	\$55,880
Number of new awards	20
Average new award	\$2,794

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<sup>1</sup> Clotfelter, Charles, et al., "High-Poverty Schools and the Distribution of Teachers and Principals," National Center for Analysis of Longitudinal Data in Education Research (CALDER) Working Paper No. 1 (2007); Horng, Eileen, et al., "Principal Preferences and the Unequal Distribution of Principals Across Schools," CALDER Working Paper No. 36 (2009).

<sup>2</sup> Schleicher, Andreas (Ed.), "Preparing Teachers and Developing School Leaders for the 21st Century: Lessons from around the World," OECD (2012).

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### Teacher and principal pathways

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2017</u>
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<u>Teacher Pathways (cont'd) (TP)</u>	
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Peer review of new award applications	\$150
National leadership activities	\$4,500

Evaluation	\$225
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<u>Principal Pathways</u>	
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Funding for new awards	\$32,975
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Number of new awards	15
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Average new award	\$2,198
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Peer review of new award applications	\$100
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National leadership activities	\$1,750
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Evaluation	\$175
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Continuation costs for Teacher Quality Partnership	\$29,245
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#### PROGRAM PERFORMANCE INFORMATION

##### Performance measures

The Department will establish goals and performance indicators to assess the impact of the Teacher and Principal Pathways programs. Grantees would report on the placement, retention, and effectiveness of program participants and on the results of new teacher and employer surveys consistent with the Administration's proposed regulations to strengthen teacher preparation. Grantees would also report on efficiency measures about program costs.

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### Teacher quality partnership

(Higher Education Act of 1965, Title II, Part A)

(dollars in thousands)

FY 2016 Authorization: 0<sup>1</sup>

Budget Authority:

	<u>2016</u>	<u>2017</u>	<u>Change</u>
	\$43,092	0	-\$43,092

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2017.

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## PROGRAM DESCRIPTION

The Teacher Quality Partnership (TQP) program seeks to improve student achievement and the quality of teachers working in high-need schools and early childhood education (ECE) programs by improving the preparation of teachers and enhancing professional development activities for teachers; holding teacher preparation programs accountable for preparing effective teachers; recruiting highly qualified individuals, including minorities; and attracting talented professionals from outside the teaching pipeline into the classroom. Projects may also include a component to train school leaders in high-need or rural local educational agencies (LEAs) or a component to partner with a public broadcast television station or another entity that develops digital education content, to improve the quality of teacher preparation programs. The program is intended to help create a variety of effective pathways into teaching and support our Nation's teaching force in improving student outcomes.

Only partnerships may apply for funding under this program. Partnerships must include a high-need LEA; a high-need school or high-need ECE program (or a consortium of high-need schools or ECE programs served by the partner LEA); a partner institution of higher education (IHE); a school, department, or program of education within the partner IHE; and a school or department of arts and sciences within the partner IHE. A partnership may also include, among others, the Governor of the State, the State educational agency, the State board of education, the State agency for higher education, or a business.

In order to maximize resources and avoid duplication, applicants are required to explain how they plan to coordinate activities under the TQP program with other federally funded programs aimed at improving teacher effectiveness (e.g., Teacher Quality State Grants under Title II of the Elementary and Secondary Education Act (ESEA) and the Teacher Incentive Fund).

The following three types of grants are eligible for funding through the program:

Pre-Baccalaureate Preparation of Teachers program (Pre-Baccalaureate) — Grants are provided to implement a wide range of reforms in teacher preparation programs and, as applicable, preparation programs for early childhood educators. These reforms may include,

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### Teacher quality partnership

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among other things, implementing curriculum changes that improve and assess how well prospective teachers develop teaching skills; using teaching and learning research so that teachers implement research-based instructional practices and use data to improve classroom instruction; developing a high-quality and sustained preservice clinical education program that includes high-quality mentoring or coaching; creating a high-quality induction program for new teachers; implementing initiatives that increase compensation for qualified early childhood educators who attain 2-year and 4-year degrees; developing and implementing high-quality professional development for teachers in partner high-need LEAs; developing effective mechanisms, which may include alternative routes to certification, to recruit qualified individuals into the teaching profession; and strengthening literacy instruction skills of prospective and new elementary and secondary school teachers.

Teaching Residency program — Grants are provided to develop and implement teacher residency programs that are based on models of successful teaching residencies and that serve as a mechanism to prepare teachers for success in high-need schools and academic subjects. Grant funds must be used to support programs that provide rigorous graduate-level course work to earn a master's degree while undertaking a guided teaching apprenticeship; learning opportunities alongside a trained and experienced mentor teacher; and clear criteria for selecting mentor teachers based on measures of teacher effectiveness. Programs must place graduates in targeted schools as a cohort in order to facilitate professional collaboration. Programs must also provide a 1-year living stipend or salary to members of the cohort, which must be repaid by any recipient who fails to teach full time at least 3 years in a high-need school and subject or area.

School Leadership program — Grants are provided to develop and implement effective school leadership programs to prepare individuals for careers as superintendents, principals, early childhood education program directors, or other school leaders. Such programs must promote strong leadership skills and techniques so that school leaders are able to:

- Create a school climate conducive to professional development for teachers;
- Understand the teaching and assessment skills needed to support successful classroom instruction;
- Use data to evaluate teacher instruction and drive teacher and student learning;
- Manage resources and time to improve academic achievement;
- Engage and involve parents and other community stakeholders; and
- Understand how students learn and develop in order to increase academic achievement.

Grant funds must also be used to develop a yearlong clinical education program, a mentoring and induction program, and programs to recruit qualified individuals to become school leaders.

Partnerships may apply for funding under the Pre-Baccalaureate program, the Teaching Residency program, or both, and may also seek separate funding under the School Leadership

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### Teacher quality partnership

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program. In addition, grant funds are available to develop digital education content to carry out the activities for Pre-baccalaureate or Teaching Residency programs, but not for School Leadership programs. Partnerships are eligible to receive grants for up to 5 years and must provide matching funds from non-Federal sources equal to at least 100 percent of the grant amount.

Program funds also can be used to support evaluations of program activities, and, in 2010, the Department awarded a contract for an evaluation of teacher residency programs supported through grants awarded in 2009 and 2010.

The Higher Education Act of 1965, as amended, also allows the Department to use program funds to support the State teacher quality accountability reporting system, as authorized by sections 205-207. The State teacher quality accountability reporting system gathers data from all 50 States, the District of Columbia, Puerto Rico, the outlying areas, and the Freely Associated States on such topics as the completion rates for traditional and alternative route teacher preparation programs, as well as State teacher assessments and certifications. These data are reported to Congress and the Nation through the Secretary's annual report on teacher quality, and they provide critical information on both the progress toward the Nation's goal of a highly qualified teacher in every classroom, and the areas needing further improvements (<http://title2.ed.gov>).

Funding levels for the past 5 fiscal years were as follows:

Fiscal Year	(dollars in thousands)
2012.....	\$42,833
2013.....	40,592
2014.....	40,592
2015.....	40,592
2016.....	43,092

### FY 2017 BUDGET REQUEST

The Administration's fiscal year 2017 budget request includes no funding for the Teacher Quality Partnership (TQP) program. The Administration instead requests funding for the proposed broader, more flexible Teacher and Principal Pathways program. This request is consistent with a longstanding principle of the Administration's budget and legislative policy, which is to replace small, narrowly targeted, categorical programs into broader, more flexible authorities that better meet locally determined needs. Promoting a variety of high quality pathways is an essential mechanism for preparing new teachers and principals to serve high-need schools and addressing inequities in access to effective and highly effective educators. The new Teacher and Principal Pathways program would fund competitive grants to teacher and principal preparation programs operated by institutions of higher education (IHEs) and nonprofit organizations to support the creation or expansion of high quality pathways into the teaching profession and school leadership, including alternative routes to certification. These pathways would emphasize partnerships with local educational agencies (LEAs) and increasing the number of effective and highly effective educators serving in high-need schools and working in high need fields and subjects.



## HIGHER EDUCATION

### Teacher quality partnership

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Under the Administration's request, Teacher Quality Partnership continuation grant costs in fiscal year 2017 would be funded from the appropriation for the new Teacher and Principal Pathways programs.

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Measures</u>	<u>2015</u>	<u>2016</u>	<u>2017</u>
Partnership Grants:			
New	0	\$7,500	0
Continuations	<u>\$37,618<sup>1</sup></u>	<u>34,954<sup>2</sup></u>	<u>0</u>
Subtotal	37,618	42,454	0
Post-project data collection grants	2,451 <sup>3</sup>	0	0
State teacher quality accountability reports	523	538	0
Program totals:			
New	2,451	7,500	0
Continuations	38,141	35,492	0
Peer review of new award applications	<u>0</u>	<u>100</u>	<u>0</u>
Total	40,592	43,092	0

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<sup>1</sup> The fiscal year 2015 continuation awards total includes approximately \$11,521 thousand in fiscal year 2015 funds used to support fiscal year 2016 continuation costs.

<sup>2</sup> The fiscal year 2016 continuation awards total includes approximately \$7,183 thousand in fiscal year 2016 funds used to support fiscal year 2017 continuation costs.

<sup>3</sup> Under 34 C.F.R. §75.250(b), the Department is authorized to award funds for a data collection period of up to 72 months after the end of the project period. In fiscal year 2015, the Department made awards to fiscal year 2010 grantees under this program to support ongoing data collection on prior program graduates.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets. Achievement of program results is based on the cumulative effect of the resources provided in previous years, as well as the resources and efforts invested by those served by this program.

In 2008, the program was reauthorized and extensively revised as part of the Higher Education Opportunity Act. The Department concluded that the performance measures that had been developed for the antecedent program were no longer appropriate. As a result, the Department developed new measures for the program. Data for the new measures was originally expected to be available in fall 2015 at the earliest. Due to data quality concerns, the Department now expects data for these measures not to be available until summer 2016. For the interim period,

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the Department has created measures that will provide data in a shorter period of time. Data for these measures comes from the revised annual performance report.

**Goal:** To increase the quality of teachers in high-need schools and early childhood education programs.

**Objective:** To increase the number of new teachers graduating from high-quality teacher preparation programs.

**Measure:** The percentage of program completers who: (1) attain initial certification/licensure by passing all necessary licensure/certification assessments and attain a bachelor's degree (pre-baccalaureate program) within 6 years or a master's degree (residency program) within 2 years, or (2) attain highly competent early childhood educator status with a bachelor's degree within 6 years or an associate's degree within 3 years.

**Interim Measure:** The percentage of program participants who did not graduate in the previous reporting period and who persisted in the postsecondary program in the current reporting period.

Year	Pre-Baccalaureate Target	Pre-Baccalaureate Actual	Residency Target	Residency Actual
2013	Baseline	73%	Baseline	96%
2014				
2015				
2016				
2017				

**Additional information:** In general, data from grantees under the TQP program has demonstrated a high level of persistence among program participants. Data for this measure was derived from annual performance reports for fiscal year 2009 and fiscal year 2010 cohorts covering years 4 and 5, respectively of the project periods. Grantee performance in the fiscal year 2010 cohort for pre-baccalaureate projects was markedly higher than those for the fiscal year 2009 cohort – a 92 percent retention rate compared to a 70 percent retention rate. The Department is currently investigating the causes of this variation, but continues to believe that success among residency projects and the FY 2010 cohort of pre-baccalaureate projects signals quality performance overall among grantees. Data for 2014 is expected in summer 2016.

**Objective:** To improve the subject matter competency of new teachers.

**Measure:** The percentage of grantees that report improved scores for initial State certification or licensure of teachers.

**Objective:** To increase the retention rate of new teachers in high-need school districts.

**Measure:** The percentage of beginning teachers who are retained in teaching in the partner high-need local educational agency or early childhood education program 3 years after initial employment.

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**Interim Measure:** The percentage of beginning teachers who are retained in teaching in the partner high-need LEA or early childhood education (ECE) program 1 year after initial employment.

Year	Pre-Baccalaureate Target	Pre-Baccalaureate Actual	Residency Target	Residency Actual
2013	Baseline	90%	Baseline	91%
2014				
2015				
2016				
2017				

**Additional information:** Data for this measure for residency projects reflects data for the fiscal year 2009 and fiscal year 2010 cohorts of grantees, but only the fiscal year 2009 cohort of pre-baccalaureate projects. Data are not yet available from the fiscal year 2010 pre-baccalaureate projects for inclusion in this measure. Performance on this measure is comparable with the retention rates for beginning teachers overall. The Department is continuing to collect data on this measure and will continue to work with grantees to ensure that beginning teachers have the academic content knowledge and teaching skills to be successful in the classroom and be retained in the LEA. Data for 2014 is expected in summer 2016.

### Efficiency Measure

**Measure:** The cost of a successful outcome, where successful outcome is defined as retention in the partner high-need LEA or ECE program 3 years after initial employment.

**Additional information:** Performance on this measure is calculated by dividing the total amount of Federal funding obligated to a project by the total number of program graduates who. Due to the nature of the TQP program, there is a particularly marked lag in data availability on this measure. Graduates of pre-baccalaureate programs would not begin qualifying for inclusion in the denominator until year 4 of the project, at the earliest, assuming that they graduated in year 1. Thus, in a normal reporting cycle and project period, pre-baccalaureate projects would be unable to report on any graduates who completed their preparation programs in years 3, 4, or 5 of the project. For residency programs, teachers who are residents in year 1 would not be eligible for inclusion into the denominator until year 3, and projects would typically be unable to report on year 4 and year 5 residents. As such, the Department expects results on this measure to be higher than the actual Federal cost due to the constraints of the reporting periods. For data on the 2013 program year, data are only currently available for a subset of fiscal year 2009 grantees (7 of 16 pre-baccalaureate grantees and 8 of 19 residency grantees). Additionally, due to the reasons cited above, interim results - \$113,445 for pre-baccalaureate grantees and \$376,007 for residency grantees – are higher than the Department expects will be the final estimate. The Department believes that, as more graduates qualify for inclusion in the denominator, these figures will decrease. Additionally, because graduates (particularly those in the pre-baccalaureate program) have no requirement to teach in the partner high-need LEA, these cost estimates do not accurately reflect the Federal cost per teacher, but only the Federal cost per retained teacher in the high-need LEA. The Department expects additional and more complete data for 2013 and 2014 in summer 2016.

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#### Other Performance Information

In 2010, the Institute of Education Sciences (IES) awarded a contract for an evaluation of the teacher residency projects supported through the TQP program to Mathematica Policy Research, Inc. Although the evaluation was originally intended to be an impact study that would examine whether having a teacher residency program graduate as a teacher had an effect on student achievement, IES determined that an experimental research design was not feasible. Instead, the evaluation was restructured as an implementation study.

In spring 2011, the evaluator surveyed all 28 TQP teacher residency projects in order to collect descriptive information on the characteristics and implementation of the projects. In order to limit the administrative burden on schools and districts, for a subset of projects, the evaluator conducted interviews with project directors and surveyed teacher residents and their mentors in spring 2011. In spring 2012, the evaluator began conducting additional surveys of the teachers of record, collecting student administrative data and teacher employment verification data, and conducting a survey on teacher mobility.

The implementation study addressed the following research questions:

- How do teachers who complete teacher residency projects compare to other novice teachers and to all teachers in their district?
- What is the retention rate of the residency project teachers compared to their novice colleagues who weren't prepared through a teacher residency project?
- What are the characteristics of the teacher residency projects (e.g., length of overall program, nature of required coursework and apprenticeship activities, characteristics of their assigned mentor teacher, criteria for selecting program participants)?
- What are the characteristics of the teacher applicants and participants in the teacher residency projects?

The study (<http://ies.ed.gov/pubsearch/pubsinfo.asp?pubid=NCEE20154002>) determined that TQP projects provided residents with an average of 450 hours of coursework (the equivalent of 10 college courses) focusing on content, pedagogy, classroom management, and student assessment. Sixty eight percent of residents reported spending 4 or 5 full days per week in their mentor's classroom during the first half of their residency, during which time residents averaged 21 days fully in charge of instruction. During the second semester, 78 percent of residents reported spending 4 or 5 days in their mentor's classroom. During that same semester, residents averaged 37 days fully in charge of instruction. Eighty three percent of residents reported that their fieldwork reinforced what they learned in their coursework and 68 percent reported that their coursework was well integrated with their classroom experiences. Additionally, novice residency program teachers reported feeling more prepared than other novice teachers in the same district.

Individuals completing residency programs were more likely than other teachers to have made a distinct career change when they joined their programs, but were otherwise largely

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demographically similar to non-residency teachers. Residency teachers also had similar retention rates as non-residency teachers in the same district from spring 2012 to fall 2012 (92 percent versus 90 percent).

The study also found that mentors had significant prior teaching experience (10 years, on average) and significant prior mentoring experience (3.5 semesters, on average). Mentors also received extensive training – averaging 37 hours – from residency programs prior to beginning their role as mentors.

A follow-up to this study, covering teacher retention for this cohort using data collected in fall 2013, is expected by fall 2015.

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### America's college promise

(Proposed legislation)

(dollars in thousands)

FY 2017 Authorization: To be determined

	<u>2016</u>	<u>2017</u>	<u>Change</u>
	0	\$1,257,334	+\$1,257,334

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### PROGRAM DESCRIPTION

Nearly a century ago, a movement that made high school widely available helped lead to rapid growth in the education and skills training of Americans, driving decades of economic growth and prosperity. America thrived in the 20<sup>th</sup> century, in large part, because we had the most educated workforce in the world. But other nations have matched or exceeded our success. Today, more than ever, Americans need the knowledge and skills to meet the demands of a growing global economy without having to take on decades of debt before they even embark on a career. By 2020, an estimated 65 percent of job openings will require postsecondary education or training, and the number of jobs requiring some level of higher education is expected to grow more rapidly in the next decade than those that do not. Meanwhile, approximately 100 million adults in America today have had no postsecondary education.

America's College Promise is a proposed mandatory grant program for States to make community colleges free for responsible students, enabling them to earn an associate's degree or certificate, or up to 2 years' worth of credits toward a bachelor's degree, at no cost. This proposal would create a new partnership with States to help them waive tuition in high-quality programs for these students, while promoting key reforms to help more students complete at least 2 years of college and help meet the demands of a growing global economy.

Reflecting America's higher education model of shared responsibility, America's College Promise will require everyone to do their part: 1) States must invest more in high-performing higher education and training; 2) community colleges must strengthen their programs and supports for students to increase the number of students who graduate; and 3) students must take responsibility for their education through earning good grades and staying on track to graduate. Specifically, America's College Promise will require the following:

- Ensuring Shared Responsibility with States: Federal funding will cover about three-quarters of the average cost of community college. Allocation of the Federal portion will be based, in part, on a formula that includes both student enrollment and outcomes such as program completion or transfer to 4-year institutions. States that choose to participate will be expected to contribute any remaining funds necessary to eliminate community college tuition for eligible students. States that already invest more and charge students less can make smaller contributions, though all participating States will be required to put up some matching funds. States must also commit to continue existing investments in higher

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### America's college promise

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education; better align high schools, community colleges, and 4-year institutions to reduce the need for remediation and repeated courses; and allocate a significant portion of funding based on performance, not enrollment alone. Low-cost States (States whose current funding levels plus America's College Promise funding exceed tuition and fees at community colleges) that provide tuition-free community college and have funds left over can spend the remaining funds on expanding quality community college offerings, improving affordability at 4-year public universities, and improving college readiness, through outreach and early intervention. The implementation of this grant program by States will occur gradually, as participation phases in, with the expectation that all States will have such programs in place within 8 years.

- Building High Quality Community Colleges: Community colleges will be expected to offer programs that are either: academic programs that fully transfer to public 4-year colleges and universities, giving students a chance to earn half of the credit they need for a 4-year degree; or, occupational training programs with high graduation rates and lead to degrees and certificates that are in demand among employers. Other types of programs will not be eligible for free tuition. Colleges must also adopt promising and evidence-based institutional reforms and innovative practices to improve student outcomes.
- Enhancing Student Responsibility and Cutting the Cost of College for All Americans: Students who attend at least half-time, maintain a 2.5 grade point average while in college, and make steady progress toward completing their program, will have their tuition eliminated. The program eliminates tuition and fees for all eligible students for a maximum of 3 years. Students with an adjusted gross income of \$200,000 and above would not be eligible.

Historically Black Colleges and Universities (HBCUs) and Minority-Serving Institutions (MSIs) play a unique role in creating and advancing educational opportunities for many of our nation's first-generation, low-income, and underrepresented students. Their role is essential to building our Nation's economy and strengthening the American middle class. America's College Promise will also provide grants to 4-year HBCUs and MSIs to provide more low-income new or transfer students with up to 2 years at a 4-year college at free or at significantly reduced tuition. This investment will encourage more students to successfully complete a bachelor's degree by enrolling as new students (direct pathways) or transferring from community college (transfer pathways).

To be eligible to participate, HBCUs and MSIs would also need to serve a significant share of low-income students (at least 35 percent share of enrollment), implement promising evidence-based reforms and innovative practices to improve student outcomes. This includes improving completion rates and having guaranteed transfer and admission articulation agreements with community colleges. Students who meet the criteria above would be eligible to have their tuition waived or significantly reduced.

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### America's college promise

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#### FY 2017 BUDGET REQUEST

For fiscal year 2017, the Administration requests \$1.3 billion in mandatory budget authority to support America's College Promise. The proposal would cost \$60.8 billion in mandatory outlays over 10 years. Funds provided under this program would be used to:

- Eliminate community college tuition and fees for eligible first-time students, regardless of age or whether they are recent high school graduates. Accordingly, low- and moderate-income students would continue to be eligible for Federal student aid (including Pell Grants) that they can use to cover other costs of attending college, such as books, supplies, housing, and transportation. America's College Promise funds would be awarded before other student aid and scholarship programs. America's College Promise fund would be a tuition waiver program funded by new Federal and State resources. States' performance funding formulas must meet minimum criteria set by the Department that will work to ensure no funding gaps between different types of public institutions are developed so that all students have a chance to succeed.
- Award grants to 4-year HBCUs and other MSIs to waive or reduce tuition and fees for up to 60 credits for Pell-eligible students. The grant amount would be based on a per-student cost of tuition and fees, capped by the national average of tuition and fees at public 4-year institutions, multiplied by the number of eligible students enrolled. The amount per student may not increase by more than 3 percent annually, while tuition and fees during the first year of the grant may not increase at a rate greater than any annual increase at the eligible institution in the previous 5 years.



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### College opportunity and graduation bonus

(Proposed legislation)

(dollars in thousands)

FY 2017 Authorization: To be determined

<u>2016</u>	<u>2017</u>	<u>Change</u>
0	\$547,787	+\$548,787

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### PROGRAM DESCRIPTION

Despite historic investments to provide college access to millions of additional low-income students, low-income youth are still eight times less likely than their high-income peers to obtain a bachelor's degree by the age of 24. While half of all people from high-income families have a bachelor's degree by age 24, just one in ten people from low-income families do. While the Pell Grant program has significantly improved access in higher education for students from lower-income families, Pell Grant recipients still face many challenges in terms of degree completion. Among new students seeking a bachelor's degree, the graduation rate for Pell Grant recipients is 50 percent versus the national average of 60 percent. However, several institutions have made significant progress in closing these gaps by implementing effective practices and key reforms, which highlights the important role that colleges and universities play in the success of Pell Grant recipients in postsecondary education. As part of our ongoing efforts to improve college completion rates, it is critical to identify institutions with a record of postsecondary access and success, and support their efforts.

The College Opportunity and Graduation Bonus program would reward colleges that successfully enroll and graduate a significant number of Pell students on time and encourage all institutions to improve their performance. Eligible institutions would receive a grant that will support innovation, interventions, and reforms to further increase college access and success based upon the number of Pell Grant recipients they graduate on time. Annual grants would be equal to the institutions' number of on-time Pell Grant recipient-graduates multiplied by a tiered bonus amount per student.

In addition, this new program would encourage institutions to continue improving their performance and graduate even more low-income students by providing a significantly larger bonus amount for additional Pell graduates. Institutional eligibility would be based on Pell students comprising a significant share of an institution's graduating class, as well as other institutional performance metrics.

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### College opportunity and graduation bonus

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#### FY 2017 BUDGET REQUEST

The Administration requests \$548 million in fiscal year 2017 mandatory budget authority, an investment of \$5.7 billion in mandatory outlays over the next decade, to support the College Opportunity and Graduation Bonus program. The grants made through this program would be used for making key investments and adopting best practices that will further increase college access and success for low-income students, which may include such reforms as:

- Partnering with school districts and schools to provide college recruitment, student-based incentive payments, awareness, and preparation activities to enable students to enter and complete postsecondary education.
- Reforming institutional need-based aid policies and awarding additional need-based financial aid to enhance educational opportunities for low-income students and provide incentives for on-time completion.
- Providing comprehensive student support services, both academic and non-academic, including mentoring and advising.
- Reducing the need for, and improving the success of, remedial education.
- Implementing evidence-based course redesigns of high-enrollment courses to improve student outcomes and reduce costs.
- Using technology to scale and enhance improvements.
- Establishing or expanding accelerated learning opportunities, such as dual or concurrent enrollment programs.

Funds awarded will supplement and not supplant existing institutional expenditures.